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The Development of Performance Evaluation Scales for First-Level Army Civilian Supervisors

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13. ABSTRACT (Maximum 200 words) The Civilian Leadership Research Program was established in 1987 to improve the leadership of Army civilian personnel. A major component of the research was the development of a set of supervisory selection measures, including a scoreable inbasket exercise, a biographical data instrument, and an instrument for measuring temperament. This report describes the development of a set of supervisory rating scales that will be used to provide criteria against which the selection instruments will be validated. The critical incident approach was used to determine both the performance categories for which scales would be developed and the behavioral anchors that would be used in the scales. A total of 93 first- and second-level supervisors who attended seven critical incident workshops produced 841 incidents. The incidents were categorized by the researchers and then used in a series of retranslation workshops with different groups of supervisors. A total of 13 trial scales emerged from this process and later reviews of the scales. The scales were administered to first- and second-level supervisors of 53 Army civilian supervisors. Analyses of the obtained rating data suggested that a composite score based on the average of the 13 (Continued)					
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scale ratings would be highly reliable and could be used to validate selection instruments.

THE DEVELOPMENT OF PERFORMANCE EVALUATION SCALES FOR FIRST-LEVEL ARMY CIVILIAN SUPERVISORS

CONTENTS

	Page
INTRODUCTION	1
METHOD	2
Examination of Supervisory Performance Dimensions	2
The Critical Incident Workshops	4
Analyses of the Critical Incident Workshop Data	5
Retranslation Workshop Procedures	6
Construction of the Trial Supervisor Performance Evaluation Scales	13
Administration of the Trial Scales	19
SUMMARY AND CONCLUSIONS	24
REFERENCES	27
APPENDIX A. MATERIALS USED IN CRITICAL INCIDENT WORKSHOPS . .	A-1
B. MATERIALS USED IN RETRANSLATION WORKSHOPS	B-1
C. SUPERVISOR RATING SCALES SELECTED FOR USE IN TRIAL ADMINISTRATION	C-1

LIST OF TABLES

Table 1. Number of Incidents Placed in Each Performance Category by the Retranslation Workshop Participants	15
2. Scoreable In-Basket Workshop Participants	20
3. Factor Analyses of First-Level, Second-Level, and Average Supervisor Ratings of the Trial Sample Participants	22
4. Results of Repeated Measure Analysis of Variance	24
5. Average Ratings Received by Participants	25

CONTENTS (Continued)

Page

LIST OF FIGURES

Figure 1. First-Level Supervisor Performance Categories	7
2. Assignment Order of Packets to Retranslation Workshop Participants	12
3. Formation of Two Scales from the Original Scale	18

THE DEVELOPMENT OF PERFORMANCE EVALUATION SCALES FOR FIRST-LEVEL ARMY CIVILIAN SUPERVISORS

Introduction

The U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) at the request of the Department of the Army Directorate for Civilian Personnel has undertaken research dealing with civilian supervisors in the Army. The goals are to evaluate the supervisory aspects of the job and to develop a set of supervisory selection measures, including a scoreable in-basket exercise, a biographical data instrument, and an instrument for measuring temperament. This report describes the development of a set of rating scales that will be used to provide a criterion against which the scoreable in-basket exercise and the biographical data and temperament instruments will be validated.

Because validation efforts require rating scales of high quality, it was decided to develop behaviorally anchored rating scales. There are several advantages to using behaviorally anchored scales as opposed to other types of rating scales (Campbell, Dunnette, Arvey, and Hellervik, 1973). Behaviorally anchored rating scales emphasize objective observation rather than subjective evaluation. They are constructed to reflect performance requirements regarded as important by those knowledgeable about the job. Behaviorally anchored rating scales define the relevant and important performance requirements in concrete terms. In the procedure used to develop the scales, job experts agree on the effectiveness levels of scaled job behaviors used as performance effectiveness "anchors." In sum, raters can compare the observed performance of a supervisor to behavioral benchmarks or standards of effectiveness, resulting in more objective performance judgments.

An inductive behavioral analysis strategy can be used to develop and evaluate behaviorally based rating scales (Campbell et al., 1973). This process requires individuals familiar with a job's performance demands to generate examples of behavior observed on that job. The examples can represent a range of performance effectiveness from high to low. The behavioral examples, or critical incidents, are then content analyzed to form dimensions or categories of supervisory effectiveness and submitted to a retranslation procedure. During the retranslation procedure, experienced job incumbents evaluate each example, place it in a category, and rate the level of effectiveness it reflects. Examples of behavior for which there is good agreement in the retranslation procedure are used to form behavioral statements anchoring different levels of effectiveness on each of the dimensions. The dimensions and behavioral anchors comprise the supervisory rating scales. This procedure was used in developing the Army-Wide Rating Scales used in Project A: Improving the Selection, Classification, and Utilization of Army Enlisted Personnel (Pulakos & Borman, 1985).

This report documents the process by which the set of first-level supervisor performance evaluation rating scales was developed. It describes in detail the critical incident methodology employed to develop the scales, and preliminary psychometric analyses of scale data collected in workshops that were held to try out the pre-testing validation procedures.

Method

A six-step procedure was used to develop the rating scales. The steps consisted of:

1. A brief examination of some dimensions of supervisory performance found in earlier research.
2. The conduct of a series of workshops where participants wrote critical incidents that exemplified good and poor supervisory performance.
3. Analysis of the critical incident workshop data from which an intermediate set of performance dimensions emerged.
4. A series of retranslation workshops in which participants independently assigned the critical incidents to the performance dimensions. The workshop participants also evaluated the intermediate performance dimensions. During the last retranslation workshop, the participants also tried out a set of scales based on the intermediate dimensions.
5. The construction of the trial performance evaluation scales based on the analysis of the retranslation workshop data.
6. The administration of the trial scales during a pilot test of the selection instruments and associated administrative procedures.

These steps are described in detail below.

Examination of Supervisory Performance Dimensions

A brief examination was made of the dimensions of supervisory performance found in other studies. The primary purpose of this review was to familiarize project personnel with the kinds of categories of supervisory performance that other researchers and practitioners have formulated. Although it was planned that the content of the critical incidents would determine the performance categories for which scales would be developed, it was felt that awareness of previously derived categorization schemes would be of value to those responsible for the content analysis of the critical incidents. Such awareness would help sensitize the content analysts to different areas of supervisory performance and also to foster agreement among them.

The examination concentrated on the responsibilities and tasks of first-level civilian supervisors working for the federal government, especially those working for the Department of Defense and the Army. Given this concentration, three primary sources of information were reviewed in detail: (1) The Supervisory Grade Evaluation Guide, published by the U. S. Civil Service Commission in 1976, (2) the Office of Personnel Management Job Grading Standard for Supervisors, and (3) the recent job analysis of Army civilian first-level supervisors conducted by Rosenthal, Riegelhaupt, and Ziemak (1988). The first two references provided general information about the jobs of federal civilian supervisors; the latter provided specific information about the jobs of Army civilian first-level supervisors.

According to the standards of the Supervisory Grade Evaluation Guide, published by the U. S. Civil Service Commission in 1976, supervisors are responsible for:

1. Ensuring the timeliness, amount, and quality of subordinates' work
2. Reviewing subordinates' products
3. Planning subordinates' work and setting their schedules and priorities
4. Assigning work to subordinates based on priorities, task difficulty, and employee capabilities
5. Evaluating subordinate performance
6. Advising and counseling employees on work and administrative matters
7. Selecting and recommending candidates for positions within the unit and for reassignments and promotions
8. Resolving employee complaints and grievances and referring more serious matters to proper levels
9. Warning and reprimanding employees and recommending further disciplinary actions as required
10. Identifying developmental and training needs of subordinates and making appropriate provisions for them.

In the Office of Personnel Management classification guide for Wage Grade supervisors (Job Grading Standard for Supervisors), FPM Supplement 512-1, August 1982) first-level supervisors are defined as individuals who supervise individuals, who, in turn, do not supervise anyone. Supervisory responsibilities of first-level supervisors are given as:

1. Planning: setting priorities, assigning work, establishing deadlines, considering the number and skill of available workers.
2. Work Direction: motivating workers, defining standards, explaining assignments, and coordinating unit's progress with other units.
3. Personnel Administration: controlling leave, conducting performance appraisals, adjusting grievances, and taking disciplinary actions.

A much more refined list of supervisory tasks may be found in the report prepared by Rosenthal et al. (1988). They studied lists of performance categories and tasks in a wide range of studies including Hill, Kerr, and Broedling (1984), McAreavy, King, and Eichhorn (1985), Bass (1981), Corts (1982), Fleishman (1953, 1973), Fleishman and Hunt (1973), OPM (1985), Gibb (1969), Hollander and Julian (1969), Stodgill (1974), Vroom (1976), and Yukl (1981). From this literature, and from descriptions of supervisory jobs in various Army and other federal agency documents and reports, as well as from interviews with incumbent Army civilian first-level supervisors, Rosenthal et al. (1988) derived a preliminary list of supervisory tasks.

The preliminary list of tasks was revised in a series of 68 workshops conducted at 18 Army installations. The workshops were attended by 427 Army civilian first-level supervisors who were asked to review the task list (which was modified after each successive workshop) and to make any revisions, additions, or deletions that would enable the list to more accurately reflect their supervisory positions.

A total of 226 tasks emerged from this process. These tasks were sorted into 11 categories:

1. Personnel staffing
2. Position management
3. Equal Employment Opportunity
4. Managing the workforce
5. Training and development
6. Employee-management communications
7. Administrative duties
8. Safety
9. Managing work and operations
10. Planning/budgeting/executing
11. Security concerns

The task list was distributed to 4,400 Army civilian first-level supervisors working at 155 locations world-wide. These supervisors were asked to indicate the relative amount of time they spend on the tasks and to rate the relative importance of the tasks for their jobs. Rosenthal et al. (1988) present a table showing the 39 tasks on which 2,764 responding supervisors on the average indicated they spent the most time (pp. 22-23). Another table gives the 39 tasks that they rated as most important to their jobs (pp. 24-25).

The tasks listed in the two tables cited in Rosenthal et al. (1988) were studied carefully along with other performance categorization schemes by the HumRRO psychologists who were going to be responsible for the later content analysis of the critical incident workshop data. Based upon the examined performance categorization schemes, a preliminary set of 25 supervisor performance factors was developed. The plan was to ask participants in the critical incident workshops to evaluate the performance factors in terms of their relative importance, rating difficulty, appropriateness, and content overlap. However, time did not permit most workshop participants to complete the evaluations, and the data that were collected were not analyzed. The list of preliminary performance factors and the accompanying evaluation forms are given in Appendix A.

The Critical Incident Workshops

A series of seven four-hour critical incident workshops were held in Spring 1989 at various Army facilities that employ civilian workers. A total of 93 first- and second-level civilian supervisors attended the workshops in groups ranging in size from 6 to 19 supervisors. The workshop participants were first given an orientation to the research project by the workshop leader. The orientation emphasized the need to develop and validate civilian first-level supervisory selection instruments. (All materials used in the critical incident workshops are given in Appendix A.) An overview of the workshop activities was then presented. The overview stressed the importance of developing a rating form that would allow raters to provide accurate assessments of Army civilian supervisors' performance and effectiveness.

Different kinds of rating forms were discussed next. The advantages of behavior-based rating scales, e.g., the emphasis on objective observation rather than subjective

evaluation, were listed. The role that specific incidents describing effective, ineffective, or average performance played in the development of the behavior-based scales was explained.

Before writing any incidents, participants were given a short training session on how to write useable incidents. They were told to emphasize what the individual first-level supervisor actually did that made the workshop participant feel that the supervisor was effective or ineffective. They were asked to describe clearly and concisely the background and consequences of the incident. They were then given three poorly written incidents and were told what was wrong with them and shown how the incidents could have been written correctly.

The workshop participants then spent about 2 1/2 hours, including a 10 minute break, writing critical incidents. The workshop leader answered questions and spot-checked the incidents as they were being written. Altogether, the 93 workshop participants produced 841 incidents or about an average of 9 incidents per participant.

If there was time available the workshop leader led a short informal discussion on problems involved in measuring first-level supervisor performance. A set of discussion questions was provided the participants, but no attempt was made to address these questions rigorously. The main purpose of the session was to give the participants a chance to express their feelings, thoughts, and ideas about the workshops and performance measurement issues.

Analyses of the Critical Incident Workshop Data

The primary objective of the analysis of the critical incidents was to formulate a set of first-level supervisor performance categories into which most, if not all, of the incidents could be reliably placed. That is, we wanted the performance categories developed to meet the criterion that knowledgeable observers of the given incidents would independently say that the supervisory behavior displayed in the incidents exemplified the same basic supervisory performance factor or dimension. The rationale for this criterion is that if observers could agree that specific types of behaviors fell into certain categories of performance, then they would be more apt to agree on their ratings of individual supervisors on behaviorally anchored scales used to rate performance in the separate categories. Also, if observers could agree that sizeable numbers of critical incidents fell into several specific categories, then the number of incidents so categorized and the content of those incidents could be used to help determine which aspects of supervisory performance should be captured by the rating scales and what the content of the behavioral anchors of those scales should be. The procedures used to achieve this objective are described below.

The critical incidents obtained in the workshops were divided into three subsets. The first subset consisted of the approximately 350 incidents obtained in the first three workshops. The second and third subsets, consisting of approximately 250 incidents each, were obtained from the fourth/fifth and sixth/seventh workshops, respectively.

An iterative procedure which involved successive content analyses of the three critical incident subsets, was used to formulate the performance categories. The contents of the

incidents in the first subset were examined independently by three HumRRO psychologists whose task was to formulate and name a set of performance categories into which all the incidents could be placed. After they had separately developed the performance categories, the three analysts met and compared their category names, as well as their placement of incidents in the categories. Similarities and differences in the names and content of the categories were discussed in detail. A set of initial performance categories upon which the three analysts could agree were defined at the conclusion of the discussions.

These initial performance categories were then used by the three analysts to categorize the critical incidents in the second subset of incidents. Again the analysts worked independently. They noted whether any incidents did not seem to fall into any of the existing categories. They noted which categories they had the most difficulty with and how changes in the number and definition of the categories might improve their ability to place the incidents.

The analysts then met and discussed the suggested category changes. They compared their placements of the incidents in the categories, noted which categories had the least amount of overlap in incident placement, and tried to determine the reason for the placement discrepancies. They examined the specific incidents that they had each placed in a different category and tried to reconcile their placements, changing the category definitions as deemed necessary to achieve greater agreement.

The revised set of performance categories was then applied in the categorization of the critical incidents comprising the third subset of incidents. The same procedure used for the second subset of incidents was used. The analysts first independently placed the incidents in the categories. Difficulties encountered by the analysts in categorizing the incidents were noted. The analysts then met and compared their placements. The amount of agreement they had by category was determined. The performance categories were then revised again.

Twelve performance categories emerged from this iterative procedure. These categories were used in the retranslation workshops. The category definitions are given in Figure 1.

A set of 12 draft first-level supervisor ratings scales was also developed based on the category definitions. These draft scales were used to get a very preliminary look at some of the likely psychometric characteristics of the scales. Through using these draft scales, the authors hoped to find out whether something was vitally wrong with the scales from a measurement point of view. The scale contents, that is, the behavioral descriptors, were based on the critical incidents that the content analysts agreed belonged in the given performance categories. The draft scales are presented in Appendix B, which also contains copies of the materials used in the retranslation workshops.

Retranslation Workshop Procedures

Although 841 incidents were collected at the critical incident workshops, not all of them could be used in the retranslation workshops. Some were simply illegible. Others were

A. Enforcing Standards of Behavior and Adherence to Policies/Regulations

- Sets clear standards of acceptable behavior on the job. Insists employees meet these standards and follow applicable policy directives, rules and regulations. Takes appropriate unofficial and official disciplinary actions to correct failings.

versus

- Ignores such behaviors as chronic tardiness, long lunches, improper dress, excessive phone calls. Is careless concerning security matters, record keeping, property disposition, travel orders, and the like. Over or under reacts in administering discipline, failing to obtain improvement.

B. Maintaining Employee Safety, Health and Physical Well Being

- Takes active steps to minimize hazards in the work environment. Calls attention of subordinates and property authorities to safety and health problems. Ensures that unit work environment is clean, adequately heated and lighted, free from clutter, noisy distractions, cigarette smoke, and the like.

versus

- Ignores safety and health hazards. Fails to enforce safety and health related rules, e.g., smoking restrictions. Shows no concern for physical well being of subordinates.

C. Completing Formal Employee Performance Appraisals

- Completes performance appraisals for annual reviews and promotions on time, and constructively. Discusses strength and weaknesses of employees. Evaluates performance objectively and fairly.

versus

- Delays completing performance appraisals; fails to indicate how performance could be improved. Plays favorites, gives high (or low) ratings to individuals who don't deserve them.

Figure 1. First-Level Supervisor Performance Categories

D. Resolving Employee Conflicts

- Actively intercedes to reduce conflicts among employees. Listens to each side attentively and tries to promote positive interactions. Takes strong action when necessary to reduce tensions and conflicts.

versus

- Ignores conflicts among employees, lets them get out of hand; jumps in thoughtlessly, without ascertaining facts. Shows bias in handling disputes.

E. Providing Personal and Career Counseling

- Provides confidential advice and help to subordinates whose personal problems are interfering with performance. Advises subordinates on job growth and career possibilities and how to overcome personal obstacles to job success.

versus

- Ignores personal problems of subordinates or makes them worse through callousness and insensitivity. Discourages career and personal growth of subordinates.

F. Communicating with Subordinates

- Keeps subordinates informed about impending personnel and work load changes, installation activities, new policies, and other matters of concern and interest to them. Regularly holds meetings with subordinates to discuss such items. Encourages employee suggestions and comments.

versus

- Fails to tell employees about upcoming changes that may impact their jobs and work environment. Keeps such information to self, sometimes to detriment of employees' job performance and satisfaction. Discourages exchange of ideas and opinions on job related matters.

Figure 1. First-Level Supervisor Performance Categories (Continued)

G. Assuring Technical Competence of Subordinates

- Makes sure that subordinates understand how to do their tasks properly by providing relevant and timely technical guidance and feedback. Closely monitors quality and timeliness of subordinates' products and provides constructive suggestions for improving performance. Provides any needed on-the-job training or ensures that it is obtained elsewhere.

versus

- Doesn't provide the technical guidance or training necessary for subordinates to do high quality work. Fails to monitor subordinates' task accomplishment and to ensure timely, accurate, or complete reports, quality products.

H. Showing Initiative, Extra Effort, and Composure Under Stress

- Reacts to job demands and stressful conditions with initiative, extra effort, and composure. Voluntarily tackles new tasks. Swiftly acts to remove unexpected barriers to job success. Efficiently accomplishes complex tasks under extreme time pressures.

versus

- Seems to fall apart under pressure, not able to rise to the occasion. Doesn't do more than what's minimally necessary to maintain position. Fails to put in extra effort when needed.

I. Showing Integrity and Honesty

- Is honest and straightforward in dealings with others. Follows same rules set for subordinates. Gives subordinates credit when credit is due. Sets a role model for subordinates to follow.

versus

- Exploits position for personal gain. Takes sole credit for subordinates' work. Lies to or misleads subordinates. Engages in dishonest acts such as pilfering, falsifying leave records, charging time not worked.

Figure 1. First-Level Supervisor Performance Categories (Continued)

J. Maintaining Employee Morale and Motivation

- Takes steps to ensure that employee moral is high and that employees are well motivated. For example, provides awards fairly, pays individualized attention to employees, arranges special ceremonies and events, encourages team spirit and high unit performance.

versus

- Makes employees feel generally unappreciated. Fails to consider special needs of subordinates or back them up when they need support. Frequently undercuts subordinates.

K. Assuring Unit Functioning

- Carefully plans and schedules unit work. Reorganizes unit activities and staff responsibilities and annual leave to meet changes in work loads and deadlines. Assigns employees to achieve fair, challenging work load distribution. Makes sure subordinates are in appropriate grades. Protects unit from outside interference, staff reductions, mission loss. Develops own professional skills as a manager.

versus

- Plans and schedules inadequately so that backlogs, bottlenecks, machine failures, supply and staff shortages occur. Delegates work tasks unequally; assigns work without considering duties and capabilities of staff. Allows major disruption of unit functioning to occur. Makes no attempt to grow as a supervisor or manager.

L. Communicating, Coordinating With Supervisors and Other Units

- Communicates effectively with supervisors and other units. Keeps them informed about unit activities, product delivery, personnel availability, and problems. Handles disagreements with tact, diplomacy, and persuasiveness. Coordinates inter-unit activities to improve mutual productivity.

versus

- Gets into no-win struggles with supervisors and other units. Is rude, abrasive, and disrespectful to them. Hides problems until it's too late to effectively solve them. Fosters "them" versus "us" feelings.

Figure 1. First-Level Supervisor Performance Categories

too fragmentary to constitute an integral, coherent incident. Other incidents were too complex, involving several distinctly different aspects of supervisory performance. Still others essentially described the behavior of second-level supervisors interacting with subordinate supervisors. And other incidents were practically replicates of each other, and might even have been describing the same supervisor's behavior.

Not only were many incidents unusable, but difficulties in making arrangements to obtain large numbers of participants for retranslation workshops led to the conclusion that the number of critical incidents used in the retranslation process would have to be curtailed. The number of incidents was subsequently reduced to 600 mostly through the elimination of incidents having one or more of the aforementioned problems. The remaining incidents were edited minimally (to eliminate spelling and egregious grammatical errors) and typed out on separate sheets for legibility purposes.

As 600 incidents were far too many for any one judge to retranslate in a four hour workshop, it was decided to split the incidents up among the workshop participants. (Based on experience in Project A retranslation workshops, we figured it would take between one and one and a half minutes on the average to judge each incident.) The overall plan for the retranslation workshop called for obtaining at least 60 participants who would each retranslate 160 of the 600 critical incidents. This would result in at least 16 participants retranslating each incident.

The incidents were presented to the workshop participants in counterbalanced order to help assure that each incident would be judged by approximately the same number of participants in case participants were unable to complete all of their assigned incidents. The 600 incidents were randomly divided into 30 packets, each containing 20 incidents. The 60 participants were divided into three groups of 20 each. Each group was assigned 10 of the 30 packets (i.e., 200 of the 600 incidents); each participant received eight of the 10 packets assigned to the group. The assignment order of the 10 packets to the 20 participants is shown in Figure 2. The remaining 20 packets were to be similarly assigned to the remaining two groups of 20 participants.

It was anticipated that some of the workshop participants would complete the retranslation task with sufficient time remaining to assist in the further evaluation of the performance factors. A set of evaluation forms was developed. These forms called for the evaluation of the 12 performance factors used in the retranslation process on four criteria: importance, ease of rating, applicability across different types of jobs, and redundancy.

Appendix B contains a copy of materials and instructions used in the retranslation workshops. The introductory materials used were essentially the same as the materials used in the critical incident workshops. After studying the definitions of the 12 performance categories (see Figure 1), the workshop participants examined each incident in the packages in turn. Once they had decided in which performance category an incident belonged, they rated the effectiveness of the described behavior on a nine-point scale, where "9" was extremely effective and "1" was extremely ineffective. They then proceeded to the next incident.

Participant	Packet ID Number									
	1	2	3	4	5	6	7	8	9	10
01	1*	2	3	4	5	6	7	8		
02		1	2	3	4	5	6	7	8	
03			1	2	3	4	5	6	7	8
04	8			1	2	3	4	5	6	7
05	7	8			1	2	3	4	5	6
06	6	7	8			1	2	3	4	5
07	5	6	7	8			1	2	3	4
08	4	5	6	7	8			1	2	3
09	3	4	5	6	7	8			1	2
10	2	3	4	5	6	7	8			1
11			8	7	6	5	4	3	2	1
12		8	7	6	5	4	3	2	1	
13	8	7	6	5	4	3	2	1		
14	7	6	5	4	3	2	1			8
15	6	5	4	3	2	1			8	7
16	5	4	3	2	1			8	7	6
17	4	3	2	1			8	7	6	5
18	3	2	1			8	7	6	5	4
19	2	1			8	7	6	5	4	3
20	1			8	7	6	5	4	3	2

* Numbers in Table indicate order in which participants retranslated the 8 packets of critical incidents they were each assigned.

Figure 2. Assignment Order of Packets to Retranslation Workshop Participants

Five workshops were held at various Army sites or installations in the United States. Fifteen supervisors were requested to attend each workshop. Altogether, the workshops were attended by 66 Army civilian supervisors. However, some of the supervisors did not complete retranslating one or two packets of critical incidents. Therefore, during the fifth workshop, the packet assignment was rearranged to allow all packets to be retranslated by at least 16 judges. During this last workshop, the 12 participating supervisors were asked to retranslate only 6 packets. When they had completed this retranslation task, each participant was asked to rate the performance of three supervisors on the 12 draft rating scales that had been constructed earlier. The participants were instructed to select the three supervisors they believed most qualified to rate, but not to identify these supervisors except by their initials (which could be fictitious). It was explained that the purpose of the ratings was to try out the scales and not to obtain ratings of particular individuals. As the participants did not identify themselves on the rating forms, the anonymity of the ratees was assured by this procedure.

After completing the ratings of the three supervisors, the participants in the final workshop completed the same four performance factor evaluation forms that the participants in the earlier four workshops had completed after retranslating the 8 packets of critical incidents assigned to them.

Construction of the Trial Supervisor Performance Evaluation Scales

The trial set of supervisor performance scales was developed from the set of twelve draft first-level supervisor ratings scales used in the last retranslation workshop. The modification of the draft scales was accomplished in five basic steps. First, the critical incidents that had been reliably placed in the various performance categories by the workshop participants were identified. Second, the incidents were designated as reflecting high, medium, or low performance levels based upon the average effectiveness level assigned the incidents by the participants. Incidents that were assigned a wide range of effectiveness levels by the participants were dropped. Third, the remaining incidents were examined carefully in conjunction with the corresponding performance level descriptions given in the preliminary scales. The scales were revised to reflect the content of the incidents in each performance category/level combination. Fourth, the evaluative data collected on the preliminary performance categories and scales were examined and decisions were made as to whether some of the scales should be further revised or even dropped. Finally, on the basis of comments received from reviewers of the scales, the performance content of one of the scales was subdivided into two new scales. These five steps are described further in the sections below.

Identification of Relevant Incidents by Performance Category

The critical incidents that were placed in the same supervisor performance category by at least 50% of the 66 workshop participants were initially identified.

A check was then made to determine whether some of the 66 workshop participants may have produced rather atypical judgments in the retranslation process. A score representing the amount of agreement with the other judges was calculated for each participant. This score was the percentage of time each judge had placed the incidents he/she retranslated into the same performance categories that 50% or more of the judges had. (Only the incidents that were placed in the same category by at least 50% of the participants were used in obtaining this score.)

The participants' percentage agreements with the majority placement ranged from a low of 53% to a high of 100% with a mean of 84%. Twenty-four of the 66 judges had percentage agreements of 90% or higher. On the basis of the agreement distribution obtained, it was decided to drop two judges, one with 53% agreement, the other with 56% agreement. These agreement indexes were more than two and one half standard deviations below the mean agreement index for the 66 participants.

The critical incidents that were placed in the same supervisor performance category by at least 50% of the remaining 64 workshop participants were then identified. The number of

incidents that passed this criterion are shown in Table 1 broken out by the performance category in which the majority of judges placed the incidents. Altogether, about 70% of the 600 incidents met the criterion.

Examination of Table 1 reveals that over half of the 421 incidents that passed the 50% criterion were placed in four performance categories: Enforcing standards of behavior and adherence to policies/regulations; Maintaining employee morale and motivation; Assuring unit functioning; and Communicating with subordinates. The number of incidents that were placed into these performance categories could be considered an index of the relative criticality of the categories in the minds of the workshop participants, as frequency and criticality are usually highly correlated in the minds of judges¹ (Sanchez & Levine, 1989). Using that index, the four performance categories of least criticality (that combined had fewer than 20% of the incidents assigned to them) were: Showing integrity and honesty; Resolving employee conflicts; Completing formal employee performance appraisals; and Showing initiative, extra effort, and composure under stress.

Designation of the Performance Levels Reflected by Each Incident

As mentioned earlier, the retranslation workshop participants indicated the effectiveness level reflected by each critical incident using a nine-point scale, where "9" was extremely effective and "1" was extremely ineffective. The standard deviation of the effectiveness rating given each incident by the judges was computed for the incidents that passed the 50% agreement criterion. If the standard deviation for a given incident was equal to or less than 1.333, the mean effectiveness of the incident was deemed to be sufficiently stable to warrant use of the incident in constructing the scale for the given performance factor. (With 16 judges, a standard deviation of 1.333 or less indicates that the standard error of the mean effectiveness rating is .333 or less.) Table 1 shows the number of incidents passing the 50% agreement criterion that also had standard deviations of 1.333 or less. Altogether, over 75% of the incidents meeting the 50% agreement criterion met the 1.333 criterion.

The 325 incidents that passed both the 50% agreement and the 1.333 standard deviation criteria were then categorized into three performance level groups: those incidents that had mean effectiveness ratings less than or equal to 3.667 were placed in the low performance group for their designated performance factor; those with mean effectiveness ratings between 3.668 and 6.333 were placed in the medium performance group, and those incidents with mean effectiveness ratings above 6.333 were placed in the high performance group for their designated performance factor. Over half of the incidents (57%) were placed in the high performance group, while about 40% of the incidents were placed in the low performance group. The number of incidents placed in the medium performance group was quite small -- less than 3% of the 325 incidents.

¹ It is also possible that the number of critical incidents reflect the "observability" of the behavior subsumed within the category.

Table 1**Number of Incidents Placed in Each Performance Category by the Retranslation Workshop Participants**

	Performance Category in Which Incident Was Most Often Placed	Number of Incidents	Number of Incidents Passing 50% Criterion	Number of Incidents Also Passing Standard Deviation Criterion
A	Enforcing Standards of Behavior and Adherence to Policies/Regulations	92	78	52
B	Maintaining Safety, Health, and Physical Well Being	32	29	26
C	Completing Formal Performance Appraisals	23	20	14
D	Resolving Employee Conflicts	28	19	9
E	Providing Personal and Career Counseling	43	33	21
F	Communicating with Subordinates	65	42	38
G	Assuring Employee Technical Competence	50	36	26
H	Showing Initiative, Extra effort, and Composure under Stress	32	22	22
I	Showing Integrity and Honesty	21	15	13
J	Maintaining Employee Moral and Motivation	74	52	43
K	Assuring Unit Functioning	72	49	38
L	Communicating, Coordinating with Supervisors and Other Units	30	26	23
		—	—	—
	Total	562*	421	325

* Total does not equal 600 because some incidents were placed equally often in two or more categories.

Detailed Examination of the Selected Retranslated Incidents

The specific content of the incidents that were placed in the high, medium, and low levels of each performance category were examined in conjunction with the behavioral descriptions already written for the 12 draft performance scales. Content discrepancies and shortfalls between the critical incidents and the behavioral descriptors used in the draft scales were corrected through revisions of the scale behavioral descriptors. The goal was to ensure that the scale performance descriptors encompassed the content of the incidents that had been reliably placed in each performance category/level combination. As very few incidents had been placed in the medium performance level, the scale descriptions for this level were for the most part statements reflecting performance intermediate between the high and low scale descriptors.

Evaluation of the Intermediate Supervisor Performance Factors

Retranslation workshop participants' evaluations. The retranslation workshop participants evaluated the 12 intermediate performance factors on the following factors: importance, ease of rating, applicability across different types of jobs, and redundancy. The four performance factors selected most often by the participants for inclusion in a comprehensive overall measure of first-level supervisor were the same four that had the most critical incidents, namely, Communicating with subordinates, Enforcing standards of behavior and adherence to policies/ regulations, Assuring unit functioning, and Maintaining employee morale and motivation. The four performance factors selected least often, however, were generally not the ones which had the fewest assigned critical incidents: Providing personal and career counseling; Communicating, coordinating with supervisors and other units; Resolving employee conflicts; and Maintaining employee safety, health, and physical well being. Two of the four least selected performance factors were also the two factors mentioned most often as being difficult to rate -- Resolving employee conflicts and Providing personal and career counseling.

The factor, Providing personal and career counseling, was also judged by many participants to be measuring the same factor as Completing formal employee performance appraisals. Two pairs of performance factors that were similarly judged by many participants to overlap were Communicating, coordinating with supervisors and other units/Communicating with subordinates and Assuring unit functioning/Assuring technical competence of subordinates.

None of the 12 factors were mentioned as being particularly inappropriate for measuring the effectiveness of first-level supervisor performance in certain types of jobs.

Draft scale tryout results. The tryout of the draft scales was somewhat atypical. The workshop participants were free to choose their ratees. The ratees themselves were unidentified except by their initials. And the number of raters (12) and ratees (36) was small. The reader is cautioned, therefore, not to place much reliance on the results obtained, though they were quite encouraging.

The range of the ratings of the 36 supervisors covered the entire 7-point scale for most of the 12 scales; for the remainder of the scales the range of the ratings covered 6 points on the scale. The median standard deviation of the ratings on the 12 scales was about 1.6, another indication that the raters spread their ratings across the 7-point scales. The mean ratings across all scales was about 4.7, indicating that on the average, the 36 supervisors were rated somewhat above the midpoint of the scales, but not too highly.

The intercorrelations among the 12 scales ranged from .29 to .87. A principal component factor analysis of the intercorrelation matrix indicated that one factor may underlie the relationships among the scales.² The tryout results indicate that a composite overall score derived by summing the 12 ratings for a given supervisor would probably capture the performance of the supervisors being rated without the need for subscores.

The tryout results also indicated that an overall performance score derived by summing the ratings across 12 scales would probably be highly reliable. The Alpha reliability for the total rating score³ obtained with the 36 cases was .96. Because of the high degree of relationship among the 12 scales, one or two of the scales could probably be dropped without undue loss in reliability.

The Scales Selected for Use in the Trial Administration

Although the scale tryout data suggested that one or more scales could be dropped with little loss in the comprehensiveness and reliability of a total performance score based on the scales, it was decided to pilot test all the scales. It was felt that until actual ratings of first-level supervisors were obtained from their own supervisors, issues concerning the difficulty of making the ratings, the factor structure and reliability of the ratings, and scale redundancy could not be resolved definitively. The scales selected for use in the trial administration are given in Appendix C.

Since reviewers of the 12 scales suggested that the scale, Showing initiative, extra effort, and composure under stress, should be subdivided, 13 scales are given in Appendix C. The reviewers felt that composure under stress was essentially a different aspect of performance than showing initiative and extra effort. The original scale was therefore subdivided into two scales. Figure 3 shows the single scale and the two scales derived from it. The critical incidents placed by the retranslation workshop participants into the original performance category were subdivided and used in the same manner described earlier as a guide in writing the performance level scale descriptors.

Of interest is the degree of correspondence between the dimensions of supervisory performance captured by the 13 scales and the 25 preliminary performance factors identified as a result of the earlier examination of the responsibilities and tasks of first-level civilian

² Only the first factor extracted had an eigenvalue equal to or greater than 1.0.

³ The reader is reminded that such an overall score would also probably contain some invalid variance, e.g., rater "halo" error.

Original:

H. SHOWING INITIATIVE, EXTRA EFFORT, AND COMPOSURE UNDER STRESS

How effective is this supervisor in showing initiative, extra effort, and composure under stress?

Falls apart under pressure, performing job duties ineffectively. Doesn't do more than what's minimally necessary to maintain position; avoids new responsibilities. Falls to put in extra effort when needed.	Loses some composure under stressful conditions, performing job duties less effectively. Puts in necessary effort when its very important; accepts responsibility when given it; anticipates potential problems.	Reacts to job demands and stressful conditions with initiative, extra effort and composure. Voluntarily tackles new tasks. Swiftly acts to remove barriers to job success. Efficiently accomplishes complex tasks under time pressure.
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Revised:

H. SHOWING INITIATIVE AND EXTRA EFFORT

How effective is this supervisor in showing initiative and extra effort?

Doesn't do more than what's minimally necessary to maintain position; avoids new responsibilities. Falls to put in extra effort when needed.	Puts in necessary effort when its very important; accepts responsibility when given it; anticipates potential problems.	Accomplishes job with initiative and extra effort when needed. Voluntarily tackles new tasks. Swiftly acts to remove barriers to job success.
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New:

M. PERFORMING WELL UNDER PRESSURE AND STRESS

How effective is this supervisor in performing well under pressure and stress?

Can not meet sudden unexpected requirements and contingencies. Falls apart under pressure, performing job duties ineffectively.	Loses some composure under stressful conditions, performing job duties less effectively.	Reacts to sudden job demands decisively and with composure. Efficiently accomplishes complex tasks under time pressure.
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Figure 3. Formation of Two Scales from the Original Scale.

supervisors working for the federal government (see Appendix A). The content of all 13 scales was reflected in part or whole in the list of 25 performance factors. However, not all the preliminary performance factors were reflected in the 13 scales. Specifically, four of the performance factors were not represented in the scales:

Maintaining security of sensitive or classified information;
Recommending the selection, promotion, and reassignment of subordinates;
Displaying technical knowledge and skill; and
Developing own job and supervisory skills.

The critical incidents produced by the workshop participants did not capture these aspects of first-level civilian supervisor performance sufficiently to warrant their inclusion in the scales.

Administration of the Trial Scales

The trial performance evaluation scales were administered to the first- and second-level supervisors of participants in workshops in which the scoreable in-basket exercises were pilot tested. All the workshop participants were first-level supervisors. A total of 27 supervisors participated in the GS-9 and below workshops and 26 supervisors participated in the GS 10-13 workshops. Table 2 presents descriptive data on the workshop participants.

Complete sets of ratings were not obtained for all workshop participants. Only first-level supervisor ratings were obtained for 13 participants and only second-level supervisor ratings were obtained for five participants. Of the 35 participants for whom both first- and second-level supervisor ratings were obtained, 33 had complete sets of 13 ratings by each type of supervisor. (Two first-level supervisors failed to provide ratings on all 13 scales for their subordinates).

Analyses were conducted to determine whether the rating scales taken as a set were sufficiently promising from a measurement viewpoint to warrant use in the validation of the scoreable in-basket exercises and the biographical data and temperament instruments. The analysis of the rating data had four major purposes:

- 1) To determine whether the 13 rating scales were essentially measuring one overall performance factor or two or more separate performance factors;
- 2) To determine the reliability of composite scores derived from combining or averaging ratings on several or all of the 13 scales;
- 3) To determine the degree of similarity between the ratings made by first-level supervisors and second-level supervisors. (It is anticipated that there will be sizeable number of participants in the validation study for whom rating data from only one type of supervisor will be available); and
- 4) To examine differences between the ratings received by participants in Grades 9 and below and Grades 10-12.

Table 2. Scoreable In-Basket Workshop Participants¹

	GS9 and Below Workshop Participants		GS10-13 Workshop Participants	
	Number	Percent	Number	Percent
Location				
Ft. Sam Houston, TX	7	25.9	8	30.8
Ft. Devon, MA	9	33.3	10	38.5
LMVD, MS	11	40.7	7	26.9
Data Missing	-	-	1	3.8
Total	27		26	
Gender				
Male	15	55.5	14	53.9
Female	9	33.3	11	42.3
Missing	3	11.1	1	3.8
Race/National Origin				
White	14	51.8	22	84.6
Black	5	18.5	1	3.8
Hispanic	6	22.2	1	3.8
Asian	0	-	-	-
Other	1	3.7	-	-
Data Missing	1	3.7	2	7.7
Pay Plan				
GS	17	62.9	15	57.7
GM	-	-	6	23.1
WS	4	14.8	2	7.7
Data Missing	6	22.2	3	11.5
Length of Time as Supervisor				
5 years or less	13	48.1	12	46.2
6-10 years	5	18.5	5	19.2
11-15 years	5	18.5	4	15.4
16-20 years	2	7.4	2	7.7
21-25 years	1	3.7	2	7.7
Data Missing	1	3.7	1	3.8
No. of Subordinates Supervised				
1-5	9	33.3	6	23.1
6-10	8	29.6	12	46.2
11-15	4	14.8	4	15.4
More than 15	3	11.1	3	11.5
Data Missing	3	11.1	1	3.8

¹ This table was extracted from a more complete table of workshop participant characteristics given in *Selecting First-Level Supervisors: The Development of Two Scoreable In-Basket Exercises* (HumPRO Final Report FR-PRD-93-03), by H.R. Felber, S.M.H. Sandlund, B.A. Dugan, and C.K. Rigby, March 1993.

Separate principal components factor analyses were conducted on the 13 supervisory scales using the ratings obtained respectively from the first-level supervisors of ratees, the second-level supervisors of the ratees, and the average of the first- and second-level ratings of the ratees. Similar to the results obtained in the earlier tryout of the scales, in each of the three factor analyses only one factor met the criterion of having an eigenvalue equal to or greater than 1.0. Table 3 shows the factor loadings obtained for the 13 scales in the three analyses. These loadings for the most part were quite high, averaging above .80 across the three analyses.

As might be expected from the undimensional factor analytic results and the tryout reliability results (see page 24), composites obtained through averaging the 13 separate ratings received by the participants had high reliabilities. The Alpha reliability of the composite obtained by averaging the 13 ratings made by the first-level supervisors of the participants was .95. The Alpha reliability for the comparable composite obtained from the second-level supervisor ratings was also .95, while the Alpha reliability of the composite obtained from first averaging the first- and second-level supervisory ratings on each scale was .97. Further analyses indicated that dropping any one of the 13 scales from the composites would likely lower the reliability of the composites, though only slightly.

The first-level supervisor composite rating had a high correlation (.86) with the second-level supervisor composite rating across the 33 participants from which both composites were available.⁴ The correlation⁵ of the first-level supervisor composite with the composite obtained from averaging the first- and second-level supervisor ratings was .97. The comparable correlation⁵ of the second-level supervisor composite with the average rating composite was .96. These results, coupled with the factor analytic and reliability results cited above, were considered to be quite encouraging. The results indicated that reliable, interchangeable composites could be formed from either the first- or the second-level supervisory ratings in the absence of one or the other set of ratings. Furthermore, averaging the first- and second-level ratings (when both sets of ratings were available), could produce a composite with very high reliability and high correlations with composites based on the ratings made by only one type of supervisor. (Not infrequently in large scale data collections, ratings are unavailable from both the first- and second-level supervisors of some of the ratees.)

A repeated measure analysis of variance was conducted to determine whether the mean differences in ratings received by participants in Grades 9 and below were significantly different from those received by participants in Grades 10-13. The analysis also determined whether the ratings given by the first-level supervisors were on the average significantly different from those given by the second-level supervisor and whether the participants on the average received higher or lower ratings on some of the 13 scales than on others. Interaction effects were also tested in the analysis of variance.

⁴ The correlation of .86 between the first- and second-level supervisor composite ratings is quite high, and may in part be attributable to sampling error (the sample size was only 33 ratees).

⁵ The reader should bear in mind that these correlations represent part/whole relationships.

Table 3. Factor Analyses of First-Level, Second-Level, and Average Supervisor Ratings of the Trial Sample Participants

Rating Scale	First-Level Ratings (n = 46)	Second-Level Ratings (n = 40)	Average Ratings (1st & 2nd Level) (n = 33)
A. Enforcing Standards of Behavior and Adherence to Policies/Regulations	.81	.85	.93
B. Maintaining Employee Safety, Health, and Physical Well Being	.73	.78	.85
C. Completing Formal Employee Performance Appraisals	.80	.84	.88
D. Resolving Employee Conflicts	.73	.78	.84
E. Providing Personal and Career Counseling	.85	.82	.91
F. Communicating with Subordinates	.80	.88	.89
G. Assuring Technical Competence of Subordinates	.71	.76	.86
H. Showing Initiative and Extra Effort	.76	.72	.84
I. Showing Integrity and Honesty	.78	.88	.88
J. Maintaining Employee Morale and Motivation	.72	.71	.80
K. Assuring Unit Functioning	.92	.77	.90
L. Communicating, Coordinating with Supervisors and Other Units	.78	.87	.91
M. Performing Well Under Pressure and Stress	.73	.63	.78

The results of the analysis of variance were encouraging (see Table 4). The mean ratings (across the 13 scales) assigned by the two types of raters (first- and second-level supervisors) to their subordinate supervisors were not significantly different. That is, on the average the first-level supervisors of the workshop participants did not assign significantly higher or lower ratings than the second-level supervisors. Nor was there any evidence that the two types of raters tended to rate the lower and higher grade supervisors in the sample differentially (the rater type interactions with the ratee grade level and scale factors were not significant). These results, if confirmed in future analyses with larger samples of ratees and raters, further point to the interchangeability of the first- and second-level supervisor ratings.

It is interesting to note that the between subjects effect in the analysis of variance was not significant. That is, the GS 10 to 13 supervisors in the workshop sample did not receive significantly higher or lower ratings on the average than the GS 9 and below supervisors. There was, however, evidence that the lower grade supervisors received higher ratings on some of the 13 scales and lower ratings on other scales than the higher grade supervisors did (the Scale X Grade interaction term was significantly different from zero). Table 5 shows the average ratings received by the participants broken out by participant grade level and scale.

The most statistically significant result obtained in the repeated measure analysis of variance concerned the differences in the mean ratings assigned the participants on the various scales (see Table 4). The scale mean differences were significant at the .0001 level. The participants as a whole received the lowest average ratings on the scale, Showing initiative and extra effort (see Table 5). The participants received their highest ratings on the average on the scale, Assuring technical competence of subordinates. These rating differentials, if confirmed in analyses with larger samples, could point to areas in which Army civilian personnel managers might focus staff performance development activities.

The range of the ratings given by the supervisors of the workshop participants covered the entire 7-point scale for most of the 13 scales. The first-level supervisors used the entire range in 12 of the 13 scales. The second-level supervisors used the entire range in 9 of the 13 scales. The median standard deviation of the ratings on the 13 scales was about 1.3 for both groups of raters. The standard deviation of the average ratings (across all 13 scales and both types of raters) was 1.05. The average ratings ranged from 1.42 to 6.65. Both the ranges and standard deviations obtained indicate that the ratings of the workshop participants were spread across the separate and combined scales.

The overall (across scales and raters) mean rating of the workshop participants was 5.46. This somewhat high value indicates that the raters tended to assign fairly high ratings to the participants. As the participants were selected by their organizations on a non-random basis, the high ratings may reflect their actual performance levels. Care should be exercised in the administration of the scales to emphasize to raters the importance of making accurate ratings of their subordinates and avoiding halo and other kinds of errors that raters typically make. The use of behavioral anchors in the scales hopefully will encourage more objective performance judgments.

Table 4. Results of Repeated Measure Analysis of Variance (n = 33)

Source of Variation	Degree of Freedom	Sum of Squares	Mean Square	F Ratio	Probability
Between Subject Effect					
Grade Level (G)	1	7.83	7.83	.27	n.s.
Error (Grade)	31	903.09	29.13		
Within Subject Effects					
Scale (S)	12	55.02	4.58	6.35	.0001
S x G	12	16.99	1.42	1.96	.0266
Error (Scale)	372	268.45	.72		
Rater Type (R)	1	2.06	2.06	.92	n.s.
R x G	1	2.61	2.61	1.16	n.s.
Error (Rater Type)	31	69.64	2.25		
S x R	12	8.49	.71	1.14	n.s.
S x R x G	12	8.73	.73	1.17	n.s.
Error (S x R)	372	230.48	.62		

Summary and Conclusions

In summary, the psychometric analyses of the rating scale data suggested that the scales would be sufficiently sound to use in the validation of the scoreable in-basket exercises and the biographical data and temperament instruments. The reliability of performance evaluation scores obtained from averaging the separate ratings on the 13 scales is likely to be quite high. The ratings given by the first- or second-level supervisors were sufficiently alike to warrant expectations that the two sets of ratings could be either combined to create an even more reliable composite, or used interchangeably in case rating data are collected from only one supervisor of a given participant.

Although the analysis indicated that the scales may be measuring one overall performance dimension or factor, and that dropping one or two scales would have minimal effect on the psychometric quality of the scales, it was decided to use all 13 scales in the validation. Plans for the validation called for the administration of a set of six independently developed scales along with the behaviorally anchored scales described in this report. Obtaining ratings on all 13 scales would allow the factorial structure of both sets of scales to be more fully explored. In addition, retaining all the scales preserved their comprehensiveness.

Table 5. Average¹ Ratings Received by Participants

Scale	GS 9 and Below (n = 17)	GS 10-13 (n = 16)	Total (n = 33)
A. Enforcing Standards of Behavior and Adherence to Policies/Regulations	5.47	5.16	5.32
B. Maintaining Employee Safety, Health, and Physical Well Being	5.41	5.16	5.29
C. Completing Formal Employee Performance Appraisals	5.65	5.09	5.38
D. Resolving Employee Conflicts	5.26	5.31	5.29
E. Providing Personal and Career Counseling	5.53	5.47	5.50
F. Communicating with Subordinates	5.44	5.53	5.48
G. Assuring Technical Competence of Subordinates	6.03	6.16	6.09
H. Showing Initiative and Extra Effort	4.82	5.22	5.02
I. Showing Integrity and Honesty	5.50	5.22	5.36
J. Maintaining Employee Morale and Motivation	5.65	5.44	5.55
K. Assuring Unit Functioning	5.94	5.41	5.68
L. Communicating, Coordinating with Supervisors and Other Units	5.56	5.12	5.35
M. Performing Well Under Pressure and Stress	5.97	5.47	5.73
Total	5.56	5.37	5.46

¹ Averages include both first- and second-level supervisor ratings.

Ultimately, the most important issue in regard to the scales is whether they adequately reflect the performance requirements of Army first-level civilian superp

mber of Army civilian supervisors in both the initial generation of the critical incidents and their later placement into performance categories further served to assure the validity of the scales. The review and evaluations of the scales by Army civilian personnel experts also helped establish the validity of the scales.

In conclusion, considering both how the performance evaluation scales were developed and the available data concerning their psychometric characteristics, the authors recommend their use as criteria in the validation of selection instruments for Army civilian first-level supervisors. Ratings on the scales could also be used as baseline measures for the evaluation of civilian supervisory performance over time. For example, ratings of supervisors could be obtained both before and after the application of a personnel initiative to determine whether the change had the desired effect of raising performance.

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APPENDIX A

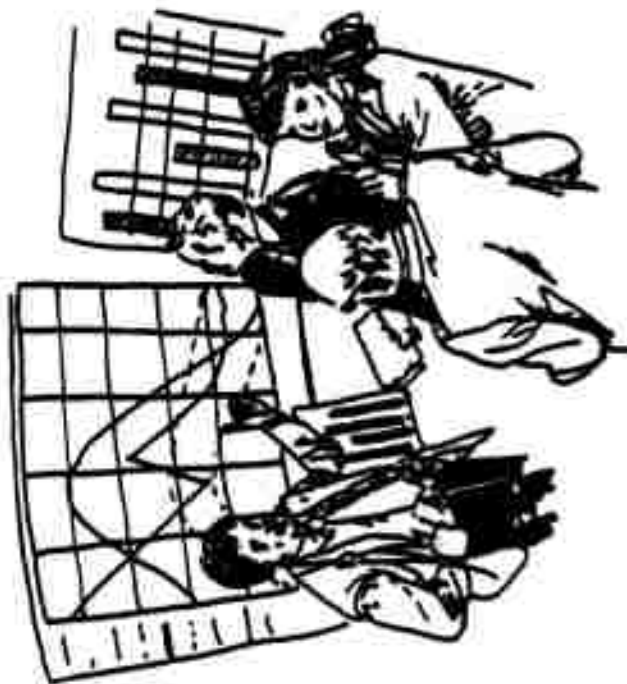
MATERIALS USED IN CRITICAL INCIDENT WORKSHOPS

Supervisor Job Performance Workshop

<u>Time</u> ¹	<u>Topic</u>
0800 - 0820	Overview of the project. Description of workshop activities.
0820 - 0840	Training on writing critical incidents
0840 - 0950	Generating critical incidents
0950 - 1000	Break
1000 - 1110	Generating more critical incidents
1110 - 1140	Evaluate preliminary set of performance measurement factors
1140 - 1200	Discussion of measurement factors and problems

¹Time periods depended upon workshop starting time.

ARMY CIVILIAN PERSONNEL RESEARCH



ORIENTATION TO CIVPERS PROJECT

Most managers would agree that the civilian first-line supervisor plays a critical role in the Army and that the selection of the best first-line supervisor candidates is an essential component of Army readiness. However, officials responsible for selection have difficulty estimating the supervisory potential of candidates because few applicants have ever worked as supervisors. As a result, in many cases the overriding factor in a candidate's selection is technical competence rather than supervisory potential. A research effort has been recently initiated by the U.S. Army Research Institute for the Behavioral and Social Sciences to evaluate the supervisory aspects of the job of civilian first-line supervisors in the Army and to develop a set of supervisory selection measures which can more accurately assess supervisory potential.

To help accomplish this research, ARI has retained a team of contractors led by the Human Resources Research Organization (HumRRO). The research team is composed of the following organizations: HumRRO, Caliber Associates, Systems Research and Applications Corporation (SRA), and Booz-Allen Hamilton. Our research team is known for developing products that are immediately useful to sponsors.

Today, we will first review what types of first-line supervisory selection instruments are going to be developed for Civilian personnel, then, we would like your help in providing us with crucial information that will aid us in the development of these Civilian First-line supervisory selection instruments.

CANDIDATE SELECTION

CONCERN: How to Select First-Line Supervisors with
STRONG SUPERVISORY POTENTIAL



ANSWER: Valid 2 Part Selection Procedure for
First Line Supervisors

- Structured Interview Guide
- Scoreable In-Basket Exercise

CANDIDATE SELECTION

Candidate selection work addresses the need to select first-line supervisors with strong supervisory potential. Recognizing that over 26,000 first-line supervisors currently serve in the DA civilian workforce and that over 3000 first-line supervisor promotions are made annually, we made development of valid selection procedures a top priority.

Our research and development efforts indicate that the need for valid selection procedures will be best met by at least two procedures:

- A Structured Interview Guide - designed to specify crucial topics to address and assess in the personal interview setting.
- A Scoreable In-basket Exercise - a judgment and decision-making exercise with scoring criteria to reduce administration time.

WHY THESE TWO SELECTION PROCEDURES ?

- **VALIDITY**
- **USABILITY**

WHY THESE TWO SELECTION PROCEDURES?

These selection procedures were chosen for two particular principles.

- Validity - The job requirements of the first-line supervisors (the knowledges, skills, abilities and other characteristics) were thoroughly documented and matched to the procedures best suited to measure each job requirement.
- Usability - Selection procedures were chosen with regard to their ease of use, reduced administration time, and potential for integration into existing Army civilian selection procedures including computerized systems.

WORKSHOP OVERVIEW

In order to determine whether scores on the selection instruments are related to on-the-job performance, it is vital to determine whether first-line supervisors who do well on the selection instruments also, in fact, do well on the job. Conversely, do low scorers on the selection tests perform less effectively in supervisory jobs? To answer these questions, we need to obtain an accurate picture of the job performance of individual first-line supervisors.

Unfortunately, the standard rating forms used to evaluate Army supervisors are not likely to be of much help here. For various reasons, most of the ratings tend to be all bunched up at the successful end of the scale. This, of course, makes it impossible to tell who's actually performing effectively and who is performing less effectively. A special evaluation of individual supervisor performance is needed, an evaluation that doesn't go into any official personnel record, but is used for research purposes only. This actual performance rating, in turn, requires a special rating form developed to help raters provide an accurate picture of an Army civilian supervisor's performance and effectiveness. This is where you and these workshops come in.

We are going to work together to develop a state-of-the-art rating form. This form should help raters (for example, second-line supervisors or fellow first-line supervisor) make accurate judgments of the actual performance effectiveness of supervisors they either supervise or work with. Together, we will design what are referred to as behavior-based rating scales, a rating form that offers an opportunity for relatively objective assessments of performance.

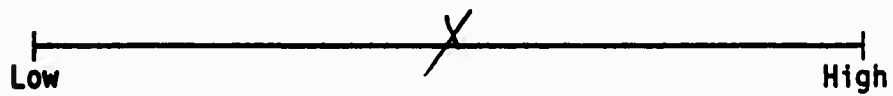
Before introducing the behavior-based rating scale concept, here are some other kinds of rating forms.

1. An example of trait ratings:

Leadership



Aggressiveness



Self-Confidence



2. An example of numerically anchored ratings:

a. Quality of Work

1 2 3 4 5

b. Quality of Work: Judge the amount of scrap, consider general care and accuracy of work.

poor, 1-6; average, 7-18; good, 19-25

20

c.

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25
																	X								
Quality	POOR					BELOW AVERAGE					AVERAGE					ABOVE AVERAGE					EXCELLENT				

3. Examples of behavior-based rating scales

CONSIDERATION FOR SUBORDINATES

How effective is the supervisor in showing consideration toward and providing help to subordinates?

Ignores subordinates' feelings and refuses or otherwise fails to help with work-related or personal problems; often neglects to pass on important information to subordinates.

In most situations, helps subordinates with their work-related/ personal problems; usually informs unit members about what they need to know.

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SELF-DEVELOPMENT

How effective is the supervisor in developing own job and leadership skills?

Makes little or no effort to improve technical/leadership skills; refuses or otherwise fails to participate in relevant training courses or career growth opportunities.

Studies, practices, or participates in course/training when required to do so or when encouraged to work on problem areas.

Takes courses, studies, and works hard during non-work hours to improve technical and leadership skills; actively seeks additional job duties/ responsibilities to improve job skills and increase chances of promotion.

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Advantages of Behavior-Based Rating Scales

- 1. The rating task with these scales emphasizes objective observation rather than subjective evaluation.**
- 2. Scales constructed to reflect performance requirements regarded as important by those knowledgeable about the job.**
- 3. Scales define the relevant and important performance requirements in concrete terms.**
- 4. Job experts agree on the effectiveness levels of scaled job behaviors used as performance effectiveness "anchors."**
- 5. In sum, raters can compare the observed performance of a supervisor to behavioral benchmarks or standards of effectiveness, resulting in more objective performance judgments.**

HOW TO WRITE FIRST LINE SUPERVISOR EFFECTIVENESS INCIDENTS

To write a performance example or incident, try to remember what the first line supervisor actually did or failed to do that made him or her effective or ineffective in a situation. These can be examples of extremely effective, ineffective, or even average performance. The important thing is that the incident is described specifically as it happened.

When writing an incident, describe only what you saw or what the person did, not what you inferred from the action. For example, in writing an incident, rather than writing that the supervisor "displayed conscientiousness," you should describe what this supervisor did to make you believe he or she was conscientious. As examples, the supervisor "worked all night to accomplish a job," or "came in very early to set up work assignments." Both of these behaviors or actions might be described as displays of conscientiousness; they are things a supervisor did to make the writer believe he or she was conscientious. Thus, we are asking you to describe specific behaviors or actions, not traits or personal characteristics.

The features of a good incident are:

1. It concerns the actions of an individual first line supervisor in his/her job.
2. It tells what the supervisor did (or did not do) that made you feel he or she was effective or ineffective.
3. It describes clearly the background of the incident.
4. It states consequences of what the supervisor did.
5. It is concise in that it is short, to the point, and does not go to great lengths specifying unimportant details of the background, the activity itself, or the consequences of what the supervisor did.

On the following pages are some hypothetical examples we will use to get you "up to speed" to write behavioral examples of incidents.

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

A briefing has to be given.

Too little
information

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

The supervisor gave it his all and did a good job.

Does not
describe how
the supervisor
"gave it his
all", or what
he did that was
a "good job"

3. What was the outcome of this incident?

The work of the section was increased.

It's not
clear what
was the
result of the
supervisor's
action

4. In what supervisor effectiveness category would you say this incident falls?

Performing well under stress.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

The importance of the section's work was being questioned by higher headquarters. The supervisor was given practically no warning, but was suddenly called in to explain what the section did.

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

In the hour's time available, the supervisor gathered all necessary facts and figures and presented them clearly and compellingly to the officials present.

3. What was the outcome of this incident?

The section was given even more responsibility and eventually two more slots or positions.

4. In what supervisor effectiveness category would you say this incident falls?

Performing well under stress.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

The "No Smoking" signs were being ignored.

Insufficient
information to
evaluate the
supervisor's
behavior

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

Did not enforce the no smoking rule.

Doesn't clearly
describe what
the supervisor
did

3. What was the outcome of this incident?

A fire started.

Doesn't give
enough
information

4. In what supervisor effectiveness category would you say this incident falls?

Maintaining employee safety.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

The shop contained a lot of flammable materials and had "No Smoking" signs posted, but some of the workers smoked anyway.

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

He did not enforce the safety rules. He simply ignored the cigarette smoking.

3. What was the outcome of this incident?

A lighted cigarette rolled off a shelf into a can of flammable liquid and started a fire. Luckily, it was quickly put out.

4. In what supervisor effectiveness category would you say this incident falls?

Maintaining employee safety.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

D.E. was a new employee who thought he had a way with women. So he started making suggestive remarks to the section secretary, who was pretty, but married and wouldn't give him the time of day.

Includes
irrelevant
information

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

The supervisor showed good judgment in handling the situation.

Labels the
behavior. Does
not indicate
what the super-
visor actually
did

3. What was the outcome of this incident?

D.E. stopped making suggestive remarks to the secretary. The secretary never did file a complaint.

No names
please

4. In what supervisor effectiveness category would you say this incident falls?

Resolving problems among employees.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective	ineffective		about average			effective	extremely effective	

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

A new male employee was making suggestive remarks to the section secretary.

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

The supervisor overheard the remarks just once and quickly took the employee aside and read him the riot act.

3. What was the outcome of this incident?

The new employee stopped making suggestive remarks to the secretary. The secretary never did file a complaint.

4. In what supervisor effectiveness category would you say this incident falls?

Resolving problems among employees.

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

Evaluation of the Supervisor Performance Factors (Form A)

In looking over the preliminary set of supervisor performance factors, you may have felt that some of the factors overlapped with others or weren't too important in arriving at an overall measure of supervisor effectiveness. Later in this research project, when we obtain performance ratings on hundreds of individuals, we want to be able to get the most comprehensive overall measure of effectiveness that we can. Yet we do not wish to burden the raters with having to make evaluations on a large number of performance factors. We would like to obtain the judgments of a representative sample of Army civilian supervisors concerning which 15 factors would produce the best measure of supervisor effectiveness when combined into an overall composite index. What we are aiming for ultimately is a set of scales that efficiently and comprehensively covers the different factors that comprise Army civilian supervisor effectiveness.

If you feel that we have not listed one or more key factors or dimensions of supervisor performance, please write a brief description of the factor(s) on the space provided on the bottom of the form.

**Evaluation of the Supervisor Performance Factors
(Form A)**

Please check the 15 (no more, no less) factors that when combined would provide the most comprehensive overall measure of supervisor performance.

Preliminary Performance Factor

- | | |
|---|---|
| 1. Planning, organizing, and assigning personnel and other resources | 0 |
| 2. Coordinating unit activities and progress with other units and organizations | 0 |
| 3. Displaying effort, conscientiousness, and responsibility | 0 |
| 4. Motivating, encouraging, rewarding, and disciplining subordinates | 0 |
| 5. Maintaining security of sensitive or classified information | 0 |
| 6. Recommending the selection, promotion, and reassignment of subordinates | 0 |
| 7. Performing well under stress and adverse conditions | 0 |
| 8. Ensuring quality, quantity, and timeliness of unit output | 0 |
| 9. Identifying problems and removing work-related obstacles | 0 |
| 10. Monitoring, reviewing, and evaluating performance of subordinates | 0 |
| 11. Giving subordinates advice/counsel on how to improve performance | 0 |
| 12. Displaying technical knowledge and skill | 0 |
| 13. Hearing, resolving, and referring subordinate complaints and grievances | 0 |
| 14. Developing own job and supervisory skills | 0 |
| 15. Exercising initiative and independent judgment | 0 |
| 16. Maintaining a positive work environment for subordinates | 0 |
| 17. Following regulations and administrative guidelines for reports, records, personnel actions, etc. | 0 |
| 18. Identifying and providing for the training needs of subordinates | 0 |
| 19. Orally communicating work status and progress to superiors, subordinates, and others | 0 |
| 20. Communicating in writing work status and progress to superiors, subordinates, and others | 0 |
| 21. Displaying honesty, integrity, and a sense of loyalty | 0 |
| 22. Maintaining unit equipment and supplies | 0 |
| 23. Maintaining employee safety | 0 |
| 24. Counseling employees on their career development | 0 |
| 25. Delegating work when appropriate | 0 |

Additional Factors

Evaluation of the Supervisor Performance Factors (Form B)

It is often easier to rate individuals on some aspects of performance than on others. This may happen because some behaviors are not often seen, are difficult to interpret clearly, or for a number of other reasons. We would like to know which of the supervisor performance factors in your opinion would be the most difficult to rate reliably and validly. Please use Form B to indicate which factors would probably give you the most difficulty in rating a first line supervisor, and what you feel the source of the difficulty would be.

Evaluation of the Supervisor Performance Factors (Form B)

Please check the performance factors that you believe would be most difficult to complete in rating first line civilian supervisors and indicate the likely source of the difficulty.

<u>Preliminary Performance Factor</u>	<u>Source of Difficulty</u>
1. Planning, organizing, and assigning personnel and other resources	0
2. Coordinating unit activities and progress with other units and organizations	0
3. Displaying effort, conscientiousness, and responsibility	0
4. Motivating, encouraging, rewarding, and disciplining subordinates	0
5. Maintaining security of sensitive or classified information	0
6. Recommending the selection, promotion, and reassignment of subordinates	0
7. Performing well under stress and adverse conditions	0
8. Ensuring quality, quantity, and timeliness of unit output	0
9. Identifying problems and removing work-related obstacles	0
10. Monitoring, reviewing, and evaluating performance of subordinates	0
11. Giving subordinates advice/counsel on how to improve performance	0
12. Displaying technical knowledge and skill	0
13. Hearing, resolving, and referring subordinate complaints and grievances	0
14. Developing own job and supervisory skills	0
15. Exercising initiative and independent judgment	0
16. Maintaining a positive work environment for subordinates	0
17. Following regulations and administrative guidelines for reports, records, personnel actions, etc.	0
18. Identifying and providing for the training needs of subordinates	0
19. Orally communicating work status and progress to superiors, subordinates, and others	0
20. Communicating in writing work status and progress to superiors, subordinates, and others	0
21. Displaying honesty, integrity, and a sense of loyalty	0
22. Maintaining unit equipment and supplies	0
23. Maintaining employee safety	0
24. Counseling employees on their career development	0
25. Delegating work when appropriate	0

Evaluation of the Supervisor Performance Factors (Form C)

Some of the supervisor performance factors may be more applicable to supervisors working in certain jobs than in others. In forming an overall composite measure of individual effectiveness for supervisors in different Army civilian jobs, some rating dimensions may really be inappropriate or nonapplicable for measuring performance in certain kinds of jobs.

Please examine the list of performance factors on Form C and indicate for which types of jobs, if any, some of the factors might best be dropped when forming an overall measure of performance for supervisors working in those jobs.

Supervisor Performance Factor Evaluation (Form C)

Please record next to the performance factor any types of Army civilian jobs for which it would be inappropriate to use the factor in measuring supervisor effectiveness.

<u>Preliminary Performance Factor</u>	<u>Nonapplicable Army Civilian Jobs</u>
1. Planning, organizing, and assigning personnel and other resources	0
2. Coordinating unit activities and progress with other units and organizations	0
3. Displaying effort, conscientiousness, and responsibility	0
4. Motivating, encouraging, rewarding, and disciplining subordinates	0
5. Maintaining security of sensitive or classified information	0
6. Recommending the selection, promotion, and reassignment of subordinates	0
7. Performing well under stress and adverse conditions	0
8. Ensuring quality, quantity, and timeliness of unit output	0
9. Identifying problems and removing work-related obstacles	0
10. Monitoring, reviewing, and evaluating performance of subordinates	0
11. Giving subordinates advice/counsel on how to improve performance	0
12. Displaying technical knowledge and skill	0
13. Hearing, resolving, and referring subordinate complaints and grievances	0
14. Developing own job and supervisory skills	0
15. Exercising initiative and independent judgment	0
16. Maintaining a positive work environment for subordinates	0
17. Following regulations and administrative guidelines for reports, records, personnel actions, etc.	0
18. Identifying and providing for the training needs of subordinates	0
19. Orally communicating work status and progress to superiors, subordinates, and others	0
20. Communicating in writing work status and progress to superiors, subordinates, and others	0
21. Displaying honesty, integrity, and a sense of loyalty	0
22. Maintaining unit equipment and supplies	0
23. Maintaining employee safety	0
24. Counseling employees on their career development	0
25. Delegating work when appropriate	0

Evaluation of the Supervisor Performance Factors (Form D)

Some of the supervisor performance factors you have been evaluating may have seemed to you to be essentially measuring the same basic factor. That is, two or three or more of the factors may have seemed to be overlapping each other to the extent that anyone who was rated high (or low) on one factor would almost certainly be rated high (or low) on the other factor(s). Unless such redundancy is eliminated, the overall composite measure of individual supervisor effectiveness may give too high a weight to these highly similar factors.

Please examine the list of performance factors on Form D and indicate which factors, if any, are so highly similar that they might best be combined into the same basic factor when forming an overall measure of performance for supervisors.

Supervisor Performance Factor Evaluation (Form D)

Please record next to each performance factor the identification number of other factors, if any, that are essentially measuring the same thing as the performance factor.

<u>Preliminary Performance Factor</u>	<u>ID No. of Highly Similar Factor(s)</u>
1. Planning, organizing, and assigning personnel and other resources	0
2. Coordinating unit activities and progress with other units and organizations	0
3. Displaying effort, conscientiousness, and responsibility	0
4. Motivating, encouraging, rewarding, and disciplining subordinates	0
5. Maintaining security of sensitive or classified information	0
6. Recommending the selection, promotion, and reassignment of subordinates	0
7. Performing well under stress and adverse conditions	0
8. Ensuring quality, quantity, and timeliness of unit output	0
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23. Maintaining employee safety	0
24. Counseling employees on their career development	0
25. Delegating work when appropriate	0

DISCUSSION QUESTIONS

1. Does anyone have any questions about what we did today, or any problems or issues about measuring first-line supervisor performance that they would like to bring up?
2. Did anyone write down any additional first-line performance factors that would be important to rate? Are there any additional ones that should be considered?
3. How long should a rater (a higher level supervisor) know a first-line supervisor to be able to validly rate him/her on these types of performance factors?
4. Should we try to get peer ratings of first-line supervisors as well as the ratings of higher level supervisors to get a better overall measure of first-line supervisor performance?
5. Are there any other types of measures that we could get which would be useful in the measurement of first-line supervisor performance?

APPENDIX B

MATERIALS USED IN RETRANSLATION WORKSHOPS

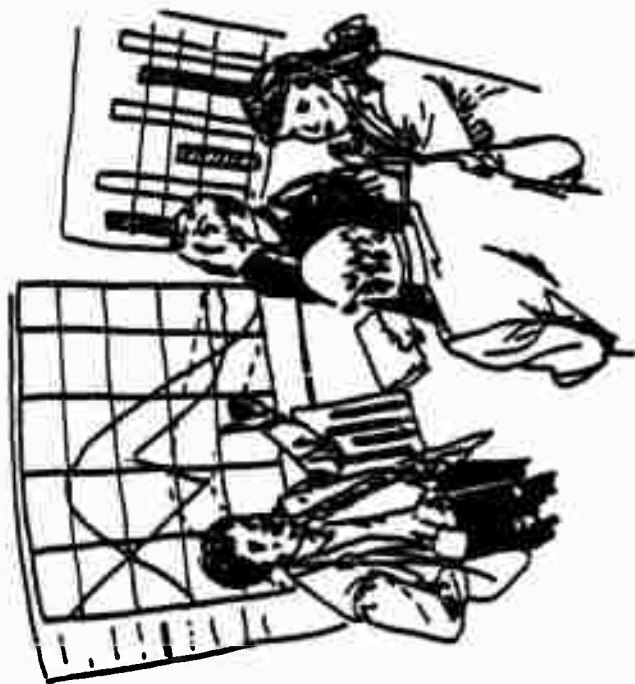
AGENDA

First Line Supervisor Job Performance Workshop

<u>Time</u>¹	<u>Topic</u>
0830 - 0845	Project overview. Description of workshop activities.
0845 - 0900	The preliminary set of performance categories
0900 - 1130	Classify critical incidents into performance categories
1130 - 1200	Evaluation of the preliminary set of performance categories

¹ Time periods depended upon workshop starting time.

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We are going to work together to develop a state-of-the-art rating form. This form should help raters (for example, second-line supervisors or fellow first-line supervisors) make accurate judgments of the actual performance effectiveness of supervisors they either supervise or work with. The first steps in developing these rating scales were accomplished recently when groups of supervisors like yourselves wrote a series of critical incidents describing what some first-line supervisors did or failed to do in work situations that made them effective or ineffective performers in those situations. These incidents were then used to identify a preliminary set of performance categories.

Now, in the third major step, it is necessary to determine whether supervisors like yourselves can reliably categorize the behavior described in the incidents to these performance categories. It is also necessary to determine whether you agree on the effectiveness level of the supervisor performance.

By developing performance scales based on actual behavioral examples, we should be able to obtain ratings which emphasize objective observation more than subjective evaluation. Furthermore, the scales should reflect performance requirements regarded as important by those knowledgeable about Army civilian first-line supervisor jobs.

Examples of behavior-based rating scales

CONSIDERATION FOR SUBORDINATES

How effective is the supervisor in showing consideration toward and providing help to subordinates?

Ignores subordinates' feelings and refuses or otherwise fails to help with work-related or personal problems; often neglects to pass on important information to subordinates.

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SELF-DEVELOPMENT

How effective is the supervisor in developing own job and leadership skills?

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Takes courses, studies, and works hard during non-work hours to improve technical and leadership skills; actively seeks additional job duties/ responsibilities to improve job skills and increase chances of promotion.

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Workshop Activities

- **Examine preliminary set of performance categories**
- **Classify critical incidents into performance categories**
- **Evaluate effectiveness of the supervisor performance described in the critical incidents**
- **Evaluate the preliminary set of performance categories**

First-Line Supervisor Performance Categories

A. Enforcing Standards of Behavior and Adherence to Policies/Regulations

- Sets clear standards of acceptable behavior on the job. Insists employees meet these standards and follow applicable policy directives, rules and regulations. Takes appropriate unofficial and official disciplinary actions to correct failings.

versus

- Ignores such behaviors as chronic tardiness, long lunches, improper dress, excessive phone calls. Is careless concerning security matters, record keeping, property disposition, travel orders, and the like. Over or under reacts in administering discipline, failing to obtain improvement.

B. Maintaining Employees Safety, Health and Physical Well Being

- Takes active steps to minimize hazards in the work environment. Calls attention of subordinates and proper authorities to safety and health problems. Ensures that unit work environment is clean, adequately heated and lighted, free from clutter, noisy distractions, cigarette smoke, and the like.

versus

- Ignores safety and health hazards. Fails to enforce safety and health related rules, e.g., smoking restrictions. Shows no concern for physical well being of subordinates.

C. Completing Formal Employee Performance Appraisals

- Completes performance appraisals for annual reviews and promotions on time, and constructively. Discusses strength and weaknesses of employees. Evaluates performance objectively and fairly.

versus

- Delays completing performance appraisals; fails to indicate how performance could be improved. Plays favorites, gives high (or low) ratings to individuals who don't deserve them.

D. Resolving Employee Conflicts

- Actively intercedes to reduce conflicts among employees. Listens to each side attentively and tries to promote positive interactions. Takes strong action when necessary to reduce tensions and conflicts.

versus

- Ignores conflicts among employees, lets them get out of hand; jumps in thoughtlessly, without ascertaining facts. Shows bias in handling disputes.

E. Providing Personal and Career Counseling

- Provides confidential advice and help to subordinates whose personal problems are interfering with performance. Advises subordinates on job growth and career possibilities and how to overcome personal obstacles to job success.

versus

- Ignores personal problems of subordinates or makes them worse through callousness and insensitivity. Discourages career and personal growth of subordinates.

F. Communicating with Subordinates

- Keeps subordinates informed about impending personnel and work load changes, installation activities, new policies, and other matters of concern and interest to them. Regularly holds meetings with subordinates to discuss such items. Encourages employee suggestions and comments.

versus

- Fails to tell employees about upcoming changes that may impact their jobs and work environment. Keeps such information to self, sometimes to detriment of employees' job performance and satisfaction. Discourages exchange of ideas and opinions on job related matters.

G. Assuring Technical Competence of Subordinates

- Makes sure that subordinates understand how to do their tasks properly by providing relevant and timely technical guidance and feedback. Closely monitors quality and timeliness of subordinates' products and provides constructive suggestions for improving performance. Provides any needed on-the-job training or ensures that it is obtained elsewhere.

versus

- Doesn't provide the technical guidance or training necessary for subordinates to do high quality work. Fails to monitor subordinates' task accomplishment and to ensure timely, accurate, or complete reports, quality products.

H. Showing Initiative, Extra Effort, and Composure Under Stress

- Reacts to job demands and stressful conditions with initiative, extra effort, and composure. Voluntarily tackles new tasks. Swiftly acts to remove unexpected barriers to job success. Efficiently accomplishes complex tasks under extreme time pressures.

versus

- Seems to fall apart under pressure, not able to rise to the occasion. Doesn't do more than what's minimally necessary to maintain position. Fails to put in extra effort when needed.

I. Showing Integrity and Honesty

- Is honest and straightforward in dealings with others. Follows same rules set for subordinates. Gives subordinates credit when credit is due. Sets a role model for subordinates to follow.

versus

- Exploits position for personal gain. Takes sole credit for subordinates' work. Lies to or misleads subordinates. Engages in dishonest acts such as pilfering, falsifying leave records, charging time not worked.

J. Maintaining Employee Morale and Motivation

- Takes steps to ensure that employee moral is high and that employees are well motivated. For example, provides awards fairly, pays individualized attention to employees, arranges special ceremonies and events, encourages team spirit and high unit performance.

versus

- Makes employees feel generally unappreciated. Fails to consider special needs of subordinates or back them up when they need support. Frequently undercuts subordinates.

K. Assuring Unit Functioning

- Carefully plans and schedules unit work. Reorganizes unit activities and staff responsibilities and annual leave to meet changes in work loads and deadlines. Assigns employees to achieve fair, challenging work load distribution. Makes sure subordinates are in appropriate grades. Protects unit from outside interference, staff reductions, mission loss. Develops own professional skills as a manager.

versus

- Plans and schedules inadequately so that backlogs, bottlenecks, machine failures, supply and staff shortages occur. Delegates work tasks unequally; assigns work without considering duties and capabilities of staff. Allows major disruption of unit functioning to occur. Makes no attempt to grow as a supervisor or manager.

L. Communicating, Coordinating With Supervisors and Other Units

- Communicates effectively with supervisors and other units. Keeps them informed about unit activities, product delivery, personnel availability, and problems. Handles disagreements with tact, diplomacy, and persuasiveness. Coordinates inter-unit activities to improve mutual productivity.

versus

- Gets into no-win struggles with supervisors and other units. Is rude, abrasive, and disrespectful to them. Hides problems until it's too late to effectively solve them. Fosters "them" versus "us" feelings.

FIRST EXAMPLE

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

An employee was coming in late and staying late to work overtime routinely, thereby falsely crediting 50 hours per week worked.

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

The supervisor did nothing and claimed he wasn't aware of the problem.

3. What was the outcome of this incident?

The supervisor was spoken to and authorization of overtime for that employee was not approved.

4. Supervisor performance category: _____

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective	ineffective		about average			effective		extremely effective

SECOND EXAMPLE

SUPERVISOR PERFORMANCE INCIDENT FORM

1. What were the circumstances leading up to the incident?

Performance appraisal was prepared for a new employee with limited experience and some shortcomings. Also, some positive aspects and potential.

2. What did the individual do that made you feel he or she was a good, average, or poor performer?

The rating reflected all the strong and weak points of the employee and were right on the mark. The employee was made aware of her assessment with each point being discussed including her potential.

3. What was the outcome of this incident?

The employee showed considerable improvement after the rating, and, if this continues, will warrant a higher rating with a strong possibility for promotion.

4. Supervisor performance category: _____

5. Circle the number below that best reflects the correct effectiveness level for this example.

1	2	3	4	5	6	7	8	9
extremely ineffective		ineffective		about average		effective		extremely effective

First-Line Supervisor Performance Categories

- A. Enforcing Standards of Behavior and Adherence to Policies/Regulations**
- B. Maintaining Employee Safety, Health and Physical Well Being**
- C. Completing Formal Employee Performance Appraisals**
- D. Resolving Employee Conflicts**
- E. Providing Personal and Career Counseling**
- F. Communicating with Subordinates**
- G. Assuring Technical Competence of Subordinates**
- H. Showing Initiative, Extra Effort, and Composure Under Stress**
- I. Showing Integrity and Honesty**
- J. Maintaining Employee Morale and Motivation**
- K. Assuring Unit Functioning**
- L. Communicating, Coordinating with Supervisors and Other Units**

THE EVALUATION OF THE PRELIMINARY SET OF PERFORMANCE CATEGORIES

In order to further the development of a comprehensive set of behavior-based rating scales, we would like you to evaluate the preliminary set of 12 performance categories. Four different aspects or dimensions will be considered in the evaluation:

- (1) which categories would best be used to form a comprehensive overall measure of first-line supervisor performance;
- (2) which performance categories would present the most difficulty in rating first-line supervisors;
- (3) which performance categories would not be applicable to first-line supervisors in certain types of jobs; and
- (4) which performance categories overlap other categories so much that they are essentially measuring the same thing.

The rationale for each of these evaluations is presented more fully on the following pages. A separate form is provided for each evaluation.

Thank you for your cooperation.

Evaluation of the Supervisor Performance Categories (Form A)

In looking over the preliminary set of supervisor performance categories, you may have felt that some of the categories overlapped with others or weren't too important in arriving at an overall measure of supervisor effectiveness. Later in this research project, when we obtain performance ratings on hundreds of individuals, we want to be able to get the most comprehensive overall measure of effectiveness that we can. Yet we do not wish to burden the raters with having to make evaluations on a large number of performance scales. We would like to obtain the judgments of a representative sample of Army civilian supervisors concerning which eight categories would produce the best measure of supervisor effectiveness when combined into an overall composite index. What we are aiming for ultimately is a set of scales that efficiently and comprehensively covers the different factors that comprise Army civilian supervisor effectiveness.

If you feel that we have not listed one or more key categories or dimensions of supervisor performance, please write a brief description of the categories on the space provided on the bottom of the form.

**Evaluation of the Supervisor Performance Categories
(Form A)**

Please check the 8 (no more, no less) categories that when combined would provide the most comprehensive overall measure of supervisor performance.

Preliminary Performance Category

- | | |
|--|---|
| A. Enforcing Standards of Behavior and Adherence to Policies/Regulations | 0 |
| B. Maintaining Employee Safety, Health and Physical Well Being | 0 |
| C. Completing Formal Employee Performance Appraisals | 0 |
| D. Resolving Employee Conflicts | 0 |
| E. Providing Personal and Career Counseling | 0 |
| F. Communicating with Subordinates | 0 |
| G. Assuring Technical Competence of Subordinates | 0 |
| H. Showing Initiative, Extra Effort, and Composure Under Stress | 0 |
| I. Showing Integrity and Honesty | 0 |
| J. Maintaining Employee Morale and Motivation | 0 |
| K. Assuring Unit Functioning | 0 |
| L. Communicating, Coordinating with Supervisors and Other Units | 0 |

Additional Factors

Evaluation of the Supervisor Performance Categories (Form B)

It is often easier to rate individuals on some aspects of performance than on others. This may happen because some behaviors are not often seen, are difficult to interpret clearly, or for a number of other reasons. We would like to know which of the supervisor performance categories in your opinion would be the most difficult to rate reliably and validly. Please use Form B to indicate which categories would probably give you the most difficulty in rating a first-line supervisor, and what you feel the source of the difficulty would be.

Evaluation of the Supervisor Performance Categories (Form B)

Please check the performance categories that you believe would be most difficult to complete in rating first-line civilian supervisors and indicate the likely source of the difficulty.

<u>Preliminary Performance Category</u>	<u>Source of Difficulty</u>
A. Enforcing Standards of Behavior and Adherence to Policies/Regulations	0
B. Maintaining Employee Safety, Health and Physical Well Being	0
C. Completing Formal Employee Performance Appraisals	0
D. Resolving Employee Conflicts	0
E. Providing Personal and Career Counseling	0
F. Communicating with Subordinates	0
G. Assuring Technical Competence of Subordinates	0
H. Showing Initiative, Extra Effort, and Composure Under Stress	0
I. Showing Integrity and Honesty	0
J. Maintaining Employee Morale and Motivation	0
K. Assuring Unit Functioning	0
L. Communicating, Coordinating with Supervisors and Other Units	0

Evaluation of the Supervisor Performance Categories (Form C)

Some of the supervisor performance categories may be more applicable to supervisors working in certain jobs than in others. In forming an overall composite measure of individual effectiveness for supervisors in different Army civilian jobs, some rating dimensions may really be inappropriate or nonapplicable for measuring performance in certain kinds of jobs.

Please examine the list of performance categories on Form C and indicate for which types of jobs, if any, some of the factors might best be dropped when forming an overall measure of performance for supervisors working in those jobs.

Supervisor Performance Category Evaluation **(Form C)**

Please record next to the performance category any types of Army civilian jobs for which it would be inappropriate to use the category in measuring supervisor effectiveness.

<u>Preliminary Performance Category</u>	<u>Nonapplicable Army Civilian Jobs</u>
A. Enforcing Standards of Behavior and Adherence to Policies/Regulations	0
B. Maintaining Employee Safety, Health and Physical Well Being	0
C. Completing Formal Employee Performance Appraisals	0
D. Resolving Employee Conflicts	0
E. Providing Personal and Career Counseling	0
F. Communicating with Subordinates	0
G. Assuring Technical Competence of Subordinates	0
H. Showing Initiative, Extra Effort, and Composure Under Stress	0
I. Showing Integrity and Honesty	0
J. Maintaining Employee Morale and Motivation	0
K. Assuring Unit Functioning	0
L. Communicating, Coordinating with Supervisors and Other Units	0

Evaluation of the Supervisor Performance Category (Form D)

Some of the supervisor performance categories you have been evaluating may have seemed to you to be essentially measuring the same basic factor. That is, two or three or more of the categories may have seemed to be overlapping each other to the extent that anyone who was rated high (or low) in one category would almost certainly be rated high (or low) in the other category(s). Unless such redundancy is eliminated, the overall composite measure of individual supervisor effectiveness may give too high a weight to these highly similar performance categories.

Please examine the list of performance categories on Form D and indicate which categories, if any, are so highly similar that they might best be combined into the same basic factor when forming an overall measure of performance for supervisors.

Supervisor Performance Category Evaluation **(Form D)**

Please record next to each performance category the identification number of other categories, if any, that are essentially measuring the same thing as the performance category.

<u>Preliminary Performance Category</u>	<u>ID Letter of Highly Similar Category(s)</u>
A. Enforcing Standards of Behavior and Adherence to Policies/Regulations	0
B. Maintaining Employee Safety, Health and Physical Well Being	0
C. Completing Formal Employee Performance Appraisals	0
D. Resolving Employee Conflicts	0
E. Providing Personal and Career Counseling	0
F. Communicating with Subordinates	0
G. Assuring Technical Competence of Subordinates	0
H. Showing Initiative, Extra Effort, and Composure Under Stress	0
I. Showing Integrity and Honesty	0
J. Maintaining Employee Morale and Motivation	0
K. Assuring Unit Functioning	0
L. Communicating, Coordinating with Supervisors and Other Units	0

PRELIMINARY FIRST LINE SUPERVISOR RATING FORM A

In this booklet, there are 12 preliminary rating scales for use in measuring the performance of first line supervisors. These scales are designed to be completed by supervisors or peers of the first line supervisors being rated. We would like your help in evaluating these scales. As a first step in obtaining these evaluations, we would like you to rate three first line supervisors (either peers or subordinates) that you feel most qualified to rate. They should not be selected because they are the best or the worst supervisors you know. Instead, they should be selected because you feel most qualified to rate them. Please write down the initials of those three supervisors in the space below. Then indicate the supervisors' GS or GM grades and whether you are a peer, first line supervisor, or second line supervisor of each supervisor. Also indicate how long you have worked with or supervised each first line supervisor.

Notice that there is no way we can (or would want to) tell the actual full names of the supervisors you are rating (if you are worried, you can even put down false initials). But to evaluate the scales we need accurate and honest ratings. That way we can tell whether the scales would fulfill their purpose of allowing various levels of supervisor performance to be determined where such variation in performance actually exists.

When you have completed rating the three first line supervisors, we will ask you to evaluate the scales. But before you begin the ratings, we would like to give you a short training session on how to avoid some of the errors that raters commonly make.

Initials of Supervisor You Are Rating _____	The Grade of This Supervisor _____	Your Position Relative To This Supervisor 1st Line 2nd Line Peer Supervisor Supervisor	Length of Time You Have Worked With or Supervised This Supervisor 0-6 7-12 13-18 19-24 More Than Months Months Months Months 2 Years
1. _____	_____	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
2. _____	_____	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
3. _____	_____	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0

GENERAL INSTRUCTIONS

This performance rating booklet contains a preliminary set of rating scales designed to assess the effectiveness of first line supervisors.

THE MOST IMPORTANT PART OF THE ENTIRE RATING TASK IS FOR YOU TO READ ALL THE PERFORMANCE STATEMENTS VERY THOROUGHLY SO THAT YOU HAVE A FIRM FIX ON THE KINDS OF BEHAVIORS THAT DEFINE DIFFERENT LEVELS OF PERFORMANCE WITHIN EACH AREA.

When you make your ratings for each supervisor, circle the one number (as shown below) that best reflects each supervisor's performance. Please do this for each of the 12 scales in order, first rating all three supervisors on Performance Scale A, then all supervisors on Scale B, and so on.

Sample Rating

Initials of the
first-line supervisor
you are rating

How effective is this supervisor in the given performance category?

1. <u>A J</u>	1	<u>2</u>	3	4	5	6	7
2. <u>W S</u>	1	2	3	4	5	<u>6</u>	7
3. <u>R T</u>	1	2	3	4	<u>5</u>	6	7

It is only necessary to put the supervisors' initials on one scale per page. But please be sure to place the supervisors' initials consistently in the same order on the three lines.

Thank you very much for giving this your careful attention.

A. ENFORCING STANDARDS OF BEHAVIOR AND ADHERENCE TO POLICIES/REGULATIONS

How effective is this supervisor in enforcing standards of behavior and adherence to policies/regulations?

Often ignores such behaviors as chronic tardiness, long lunches, improper dress, excessive phone calls. Is careless about security matters, record keeping, and the like. Administers discipline unevenly, failing to obtain improvement.	Sets standards of acceptable behavior. Generally makes sure employees follow applicable directives, rules, and regulations. Administers discipline fairly.	Sets clear standards of acceptable behavior. Insists employees meet these standards and follow all relevant policy directives, rules, and regulations. Takes appropriate disciplinary actions to correct failings.
---	--	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

B. MAINTAINING EMPLOYEE SAFETY, HEALTH, AND PHYSICAL WELL BEING

How effective is this supervisor in maintaining employee safety, health, and physical well being?

Often ignores workplace hazards and fails to enforce safety and health related rules, e.g., smoking restrictions. Shows no concern for physical well-being of subordinates.	Generally enforces safety and health rules. Tries to improve physical well-being of subordinates when necessary.	Takes active steps to ensure work environment is free from hazards, noisy distractions, clutter, cigarette smoke, and the like. Calls attention of subordinates and proper authorities to safety and health problems.
---	--	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

C. COMPLETING FORMAL EMPLOYEE PERFORMANCE APPRAISALS

How effective is this supervisor in completing formal employee performance appraisals?

Delays completing performance appraisals. Plays favorites, gives high (or low) ratings to individuals who don't deserve them. Fails to indicate how performance could be improved.	Generally completes performance appraisals on time. Evaluates performance of subordinates adequately. Goes over evaluations with employees.	Completes performance appraisals early or on time. Evaluates performance very fairly and objectively. Constructively discusses with employees their strengths and weaknesses.
--	---	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

D. RESOLVING EMPLOYEE CONFLICTS

How effective is this supervisor in resolving employee conflicts?

Lets employee conflicts get out of hand or jumps into conflicts thoughtlessly, without ascertaining facts. Shows bias in handling disputes, often resolving them unfairly.	Doesn't allow employee conflicts to get out of hand. Generally listens to both sides and tries to reach fair accommodations.	Actively intercedes to reduce conflicts among employees. Listens to each side attentively. Takes appropriate actions to reduce tensions and conflicts. Resolutions are fair and constructive.
--	--	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

E. PROVIDING PERSONAL AND CAREER COUNSELING

How effective is this supervisor in providing personal and career counseling?

Tends to ignore personal problems of subordinates or makes them worse through callousness and insensitivity. (Doesn't encourage career and personal growth of subordinates.)	Advises and helps subordinates when their personal problems interfere with performance. Gives subordinates good advice on job growth and career possibilities.	Provides very useful confidential advice and help to subordinates whose personal problems are interfering with performance. Gives subordinates excellent advice on job growth and career possibilities.
--	--	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

F. COMMUNICATING WITH SUBORDINATES

How effective is this supervisor in communicating with subordinates?

Fails to tell employees about upcoming changes and events that may impact their jobs and work environment. Keeps such information to self; discourages exchange of ideas and opinions on job-related matters.	Generally keeps subordinates informed about upcoming changes and events that may impact their jobs and work environment. Holds meetings occasionally to discuss such matters.	Keeps subordinates fully informed about personnel and work load changes, installation activities, new policies, and the like. Regularly holds meetings with subordinates to discuss such matters. Encourages employee suggestions.
---	---	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

6. ASSURING TECHNICAL COMPETENCE OF SUBORDINATES

How effective is this supervisor in assuring the technical competence of subordinates?

Doesn't provide the technical guidance or training necessary for subordinates to do quality work. Fails to monitor subordinates' task accomplishment adequately; doesn't assure timely, accurate, or complete reports, quality products.	Provides some technical guidance, job training, feedback, and constructive suggestions to subordinates concerning their task performance. Generally keeps track of quality and timeliness of subordinates' products.	Makes sure subordinates understand how to do their tasks properly by providing relevant and timely technical guidance, job training, feedback, or constructive suggestions. Closely monitors quality and timeliness of subordinates' products.
--	--	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

B-32

H. SHOWING INITIATIVE, EXTRA EFFORT, AND COMPOSURE UNDER STRESS

How effective is this supervisor in showing initiative, extra effort, and composure under stress?

Falls apart under pressure, performing job duties ineffectively. Doesn't do more than what's minimally necessary to maintain position; avoids new responsibilities. Fails to put in extra effort when needed.	Loses some composure under stressful conditions, performing job duties less effectively. Puts in necessary effort when its very important; accepts responsibility when given it; anticipates potential problems.	Reacts to job demands and stressful conditions with initiative, extra effort and composure. Voluntarily tackles new tasks. Swiftly acts to remove barriers to job success. Efficiently accomplishes complex tasks under time pressure.
---	--	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

I. SHOWING INTEGRITY AND HONESTY

How effective is this supervisor in showing integrity and honesty?

Exploits position for personal gain. Takes sole credit for subordinates' work. Lies to or misleads subordinates. Engages in dishonest acts such as pilfering supplies, falsifying leave records, charging time not worked.	Is honest and straightforward in dealing with others. Follows same rules set for subordinates. Gives them full credit for their role in unit productivity. Sets a role model for subordinates to follow.
---	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

J. MAINTAINING EMPLOYEE MORALE AND MOTIVATION

How effective is this supervisor in maintaining employee morale and motivation?

Makes employees feel generally unappreciated. Fails to consider special needs of subordinates or back them up when they need support. Frequently undercuts subordinates.	Takes some actions to ensure the morale and motivation of subordinates. Backs up employees and considers their special needs most of the time. Seldom undercuts employees.	Takes many actions to ensure that employees have high morale and are well motivated. For example, arranges special ceremonies and events, pays individualized attention to employees, encourages team spirit and provides awards fairly.
--	--	--

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

K. ASSURING UNIT FUNCTIONING

How effective is this supervisor in assuring unit functioning?

Plans and schedules inadequately so that backlogs, bottlenecks, shortages, etc., occur. Delegates work tasks unequally. Allows major disruptions of unit functioning to occur. Makes no attempt to grow as a supervisor.	Plans and schedules adequately enough to keep backlogs, shortages, etc., from becoming serious. Distributes work appropriately among subordinates. Reduces impact of outside interference on unit functioning.	Carefully plans, schedules, and re-organizes unit work to meet deadlines. Assigns employees to achieve fair, challenging work load distribution. Protects unit from outside interference. Develops own skill as a supervisor.
--	--	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

B-34

L. COMMUNICATING, COORDINATING WITH SUPERVISORS AND OTHER UNITS

How effective is this supervisor in communicating and coordinating with own supervisors and other units?

Gets into no-win struggles with own supervisors and other units. Is sometimes rude or disrespectful to them. Hides problems until its too late to solve them effectively. Fosters "them" versus "us" feelings.	Maintains fairly open lines of communication with own supervisors and other units. Handles disagreements and coordinations in a manner that reduces tensions and encourages further interactions and cooperation.	Communicates effectively with own supervisors and other units. Keeps them fully informed about unit activities. Handles disagreements with tact and diplomacy. Coordinates inter-unit improvements in productivity.
--	---	---

First-line supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7

APPENDIX C

SUPERVISOR RATING SCALES SELECTED FOR USE IN TRIAL ADMINISTRATION

- Base your ratings on how effective the individual is in each area most of the time.
- Base your ratings only on the effectiveness of the individual, not on unrelated characteristics (for example, physical attractiveness or grade).
- Avoid the frequently made error of rating an individual the same on all scales--most individuals have some relatively stronger and weaker points.
- Each individual should be rated independently from the other individuals in each area.

The supervisor(s) you have been assigned to rate have been listed in the box below. Please indicate your supervisory position relative to each individual and your familiarity with his/her job performance.

Because some supervisors will be asked to rate more than one individual, cards have been provided to facilitate the rating. The names on the card should be the same as the names in the box below. For each area of supervisor performance, place your card on the form so that the first name on the card lines up with the first row of numbers, and the second name on the card lines up with the second row of numbers, etc.

Please try to give us the most accurate and objective ratings you can give. Remember, these ratings will be used for research purposes only. No one in the Army will ever know how any individual was rated.

Thank you for your cooperation.

MARKING INSTRUCTIONS

Read each rating scale carefully. Make a circle around one number that best reflects each supervisor's effectiveness. Please do this for each of the 13 performance categories, rating all individuals in Category A, then all individuals in Category B, and so on.

Name of the Individual You Are Rating	Your Position Relative To This Individual		How Familiar Are You With This Individual's Job Performance?			
	Immediate Supvr	Supervise his/her Supvr	Very Familiar	Moderately Familiar	Not Very Familiar	Not At All Familiar
1. _____	0	0	0	0	0	0
2. _____	0	0	0	0	0	0
3. _____	0	0	0	0	0	0
4. _____	0	0	0	0	0	0
5. _____	0	0	0	0	0	0

INSTRUCTIONS

Supervisor Rating Scales

This supervisor rating booklet contains rating scales that will be used to assess the effectiveness of individual supervisors participating in the development and validation of Army civilian supervisor selection instruments. The rating scales cover thirteen areas of supervisory performance. Each scale contains seven points, ranging from 1 to 7 (see sample scale below). We would like you to use these scales to rate one or more supervisors that have been identified as individuals that you supervise.

A. ENFORCING STANDARDS OF BEHAVIOR AND ADHERENCE TO POLICIES/REGULATIONS

How effective is this supervisor in enforcing standards of behavior and adherence to policies/regulations?

	Often ignores such behaviors as chronic tardiness, long lunches, improper dress, excessive phone calls. Is careless about security matters, record keeping, and the like. Administers discipline unevenly, failing to obtain improvement.	Sets standards of acceptable behavior. Generally makes sure employees follow applicable directives, rules, and regulations. Administers discipline fairly.	Sets clear standards of acceptable behavior. Insists employees meet these standards and follow all relevant policy directives, rules, and regulations. Takes appropriate disciplinary actions to correct failings.				
Supervisors you are rating.							
1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

Supervisors
you are rating.

The procedure for completing these scales is as follows:

- Before making a rating, read very carefully the statements over each rating scale that provide examples of the kinds of behavior covered by the scale.
- If the "low" end of the scale best describes the supervisor's typical performance, a "1" or "2" would be the correct rating. If the "high" end of the scale most closely matches the supervisor's typical performance, a rating of "6" or "7" should be chosen. Intermediate performance should be given ratings of "3," "4," or "5."
- Treat each area of supervisory effectiveness as a relatively independent or separate area. Your ratings should reflect each individual's own effectiveness level in each area accurately.

A. ENFORCING STANDARDS OF BEHAVIOR AND ADHERENCE TO POLICIES/REGULATIONS

How effective is this supervisor in enforcing standards of behavior and adherence to policies/regulations?

Often ignores such behaviors as chronic tardiness, long lunches, improper dress, excessive phone calls. Is careless about security matters, record keeping, and the like. Administers discipline unevenly, failing to obtain improvement.	Sets standards of acceptable behavior. Generally makes sure employees follow applicable directives, rules, and regulations. Administers discipline fairly.	Sets clear standards of acceptable behavior. Insists employees meet these standards and follow all relevant policy directives, rules, and regulations. Takes appropriate disciplinary actions to correct failings.
---	--	--

Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

B. MAINTAINING EMPLOYEE SAFETY, HEALTH, AND PHYSICAL WELL-BEING

How effective is this supervisor in maintaining employee safety, health, and physical well-being?

Often ignores workplace hazards and fails to enforce safety and health related rules, e.g., smoking restrictions. Shows no concern for physical well-being of subordinates.	Generally enforces safety and health rules. Tries to improve physical well-being of subordinates when necessary.	Takes active steps to ensure work environment is free from hazards, noisy distractions, clutter, cigarette smoke, and the like. Calls attention of subordinates and proper authorities to safety and health problems.
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Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

C. COMPLETING FORMAL EMPLOYEE PERFORMANCE APPRAISALS

How effective is this supervisor in completing formal employee performance appraisals?

	1	2	3	4	5	6	7
Supervisors you are rating.							
1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

Delays completing performance appraisals. Plays favorites, gives high (or low) ratings to individuals who don't deserve them. Fails to indicate how performance could be improved.

Generally completes performance appraisals on time. Evaluates performance of subordinates adequately. Goes over evaluations with employees.

Completes performance appraisals early or on time. Evaluates performance very fairly and objectively. Constructively discusses with employees their strengths and weaknesses.

D. RESOLVING EMPLOYEE CONFLICTS

How effective is this supervisor in resolving employee conflicts?

<p>Lets employee conflicts get out of hand or jumps into conflicts thoughtlessly, without ascertaining facts. Shows bias in handling disputes, often resolving them unfairly.</p>	<p>Doesn't allow employee conflicts to get out of hand. Generally listens to both sides and tries to reach fair accommodations.</p>	<p>Actively intercedes to reduce conflicts among employees. Listens to each side attentively. Takes appropriate actions to reduce tensions and conflicts. Resolutions are fair and constructive.</p>
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Supervisors
you are rating.

1	_____	1	2	3	4	5	6	7
2	_____	1	2	3	4	5	6	7
3	_____	1	2	3	4	5	6	7
4	_____	1	2	3	4	5	6	7
5	_____	1	2	3	4	5	6	7

E. PROVIDING PERSONAL AND CAREER COUNSELING

How effective is this supervisor in providing personal and career counseling?

Tends to ignore personal problems of subordinates or makes them worse through callousness and insensitivity. Doesn't encourage career and personal growth of subordinates.	Advises and helps subordinates when their personal problems interfere with performance. Gives subordinates good advice on job growth and career possibilities.	Provides very useful confidential advice and help to subordinates whose personal problems are interfering with performance. Gives subordinates excellent advice on job growth and career possibilities.
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Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

F. COMMUNICATING WITH SUBORDINATES

How effective is this supervisor in communicating with subordinates?

<p>Fails to tell employees about upcoming changes and events that may impact their jobs and work environment. Keeps such information to self; discourages exchange of ideas and opinions on job-related matters.</p>	<p>Generally keeps subordinates informed about upcoming changes and events that may impact their jobs and work environment. Holds meetings occasionally to discuss such matters.</p>	<p>Keeps subordinates fully informed about personnel and work load changes, installation activities, new policies, and the like. Regularly holds meetings with subordinates to discuss such matters. Encourages employee suggestions.</p>
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Supervisors
you are rating.

1	_____	1	2	3	4	5	6	7
2	_____	1	2	3	4	5	6	7
3	_____	1	2	3	4	5	6	7
4	_____	1	2	3	4	5	6	7
5	_____	1	2	3	4	5	6	7

G. ASSURING TECHNICAL COMPETENCE OF SUBORDINATES

How effective is this supervisor in assuring the technical competence of subordinates?

Doesn't provide the technical guidance or training necessary for subordinates to do quality work. Fails to monitor subordinates' task accomplishment adequately; doesn't assure timely, accurate, or complete reports, quality products. Provides some technical guidance, job training, feedback, and constructive suggestions to subordinates concerning their task performance. Generally keeps track of quality and timeliness of subordinates' products. Makes sure subordinates understand how to do their tasks properly by providing relevant and timely technical guidance, job training, feedback, or constructive suggestions. Closely monitors quality and timeliness of subordinates' products.

Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

H. SHOWING INITIATIVE AND EXTRA EFFORT

How effective is this supervisor in showing initiative and extra effort?

Doesn't do more than what's minimally necessary to maintain position; avoids new responsibilities. Fails to put in extra effort when needed.	Puts in necessary effort when its very important; accepts responsibility when given it; anticipates potential problems.	Accomplishes job with initiative and extra effort when needed. Voluntarily tackles new tasks. Swiftly acts to remove barriers to job success.
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Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

I. SHOWING INTEGRITY AND HONESTY

How effective is this supervisor in showing integrity and honesty?

Exploits position for personal gain. Is honest and straightforward in dealing with others. Follows same rules set for subordinates. Gives them full credit for their role in unit productivity. Sets a role model for subordinates to follow.

Takes sole credit for subordinates' work. Seidam takes advantage of position for personal gain. Gives subordinates credit for most of their job accomplishments. Gives honest answers to most questions.

Lies to or misleads subordinates.

Engages in dishonest acts such as pilfering supplies, falsifying leave records, charging time not worked.

Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

J. MAINTAINING EMPLOYEE MORALE AND MOTIVATION

How effective is this supervisor in maintaining employee morale and motivation?

Makes employees feel generally unappreciated. Fails to consider special needs of subordinates or back them up when they need support. Frequently undercuts subordinates.	Takes some actions to ensure the morale and motivation of subordinates. Backs up employees and considers their special needs most of the time. Seldom undercuts employees.	Takes many actions to ensure that employees have high morale and are well motivated. For example, arranges special ceremonies and events, pays individualized attention to employees, encourages team spirit and provides awards fairly.
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Supervisors
you are rating.

1 _____	1	2	3	4	5	6	7
2 _____	1	2	3	4	5	6	7
3 _____	1	2	3	4	5	6	7
4 _____	1	2	3	4	5	6	7
5 _____	1	2	3	4	5	6	7

K. ASSURING UNIT FUNCTIONING

How effective is this supervisor in assuring unit functioning?

Plans and schedules inadequately so that backlogs, bottlenecks, shortages, etc., occur. Delegates work tasks unequally. Allows major disruptions of unit functioning to occur. Makes no attempt to grow as a supervisor.	Plans and schedules adequately enough to keep backlogs, shortages, etc., from becoming serious. Distributes work appropriately among subordinates. Reduces impact of outside interference on unit functioning.	Carefully plans, schedules, and re-organizes unit work to meet deadlines. Assigns employees to achieve fair, challenging work load distribution. Protects unit from outside interference. Develops own skill as a supervisor.
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Supervisors
you are rating.

1	_____	1	2	3	4	5	6	7
2	_____	1	2	3	4	5	6	7
3	_____	1	2	3	4	5	6	7
4	_____	1	2	3	4	5	6	7
5	_____	1	2	3	4	5	6	7

L. COMMUNICATING, COORDINATING WITH SUPERVISORS AND OTHER UNITS

How effective is this supervisor in communicating and coordinating with own supervisors and other units?

Gets into no-win struggles with own supervisors and other units. Is sometimes rude or disrespectful to them. Hides problems until its too late to solve them effectively. Fosters "them" versus "us" feelings.

Maintains fairly open lines of communication with own supervisors and other units. Handles disagreements and coordinations in a manner that reduces tensions and encourages further interactions and cooperation.

Communicates effectively with own supervisors and other units. Keeps them fully informed about unit activities. Handles disagreements with tact and diplomacy. Coordinates inter-unit improvements in productivity.

Supervisors
you are rating.

1	_____	1	2	3	4	5	6	7
2	_____	1	2	3	4	5	6	7
3	_____	1	2	3	4	5	6	7
4	_____	1	2	3	4	5	6	7
5	_____	1	2	3	4	5	6	7

M. PERFORMING WELL UNDER PRESSURE AND STRESS

How effective is this supervisor in performing well under pressure and stress?

Can not meet sudden unexpected requirements and contingencies.	Reacts to sudden job demands decisively and with composure.
Falls apart under pressure, performing job duties ineffectively.	Efficiently accomplishes complex tasks under time pressure.

Supervisors
you are rating.

1	1	2	3	4	5	6	7
2	1	2	3	4	5	6	7
3	1	2	3	4	5	6	7
4	1	2	3	4	5	6	7
5	1	2	3	4	5	6	7